



Iowa Hawkeyes

The University of Iowa
Carver-Hawkeye Arena
Iowa City IA 52242-1020
Ph: 319-335-9320
Fax: 319-335-9333

January 25, 2012

Tyler Barnes
60 Jefferson St #7
North Liberty, IA 52317

Dear Tyler:

I am pleased to offer you an interim temporary position as Football Administrative Assistant with the Iowa Athletics Department beginning January 17, 2012. Your employment is contingent upon completion of a successful credential check and a successful criminal background check. Abiding by the rules and regulations by which we must conduct our athletics programs is also a condition of employment.

Your appointment classification is Miscellaneous Professional (PZ01) and your position is classified as temporary "at will." Employment is contingent on continued positive performance. For salary purposes, the term of this temporary appointment is defined as January 17, 2012 through January 16, 2013 at an annual salary of \$32,000 at 100% effort. This equates to a rate of pay in the amount of \$15.33 per hour for eight (8) hours per University workday.

Temporary employees are paid via biweekly payroll. Temporary employees who work in excess of 1040 hours per fiscal year are limited to one year of employment. Second year extension requests are at the discretion of the Department of Athletics and are subject to University approval through the Office of Equal Opportunity & Diversity.

This appointment does not include the University's regular employee benefits. Under this temporary status, if you are continuously employed by the University for six months or longer, state law requires that IPERS be withheld from your paycheck. This will happen automatically.

As a condition of employment, you will be required to receive all payments by direct deposit. You may sign up for direct deposit on the University self service web site shortly after you begin your appointment.

As a UI staff member, you are required to participate in sexual harassment prevention education during the first two months of employment (**by March 17, 2012**). You can satisfy this requirement by registering for and completing an instructor-led session or specifically designated online courses.

Name
January 25, 2012
Page 2

I am enthusiastic about your joining our professional staff and look forward to working with you. To indicate your acceptance of this position, please sign and date below and return via fax to (319) 335-9333.

Sincerely,



Paul Federici
Director of Football Operations

In

Accepted by: TB Date: 1/27/12

Attachments

Attachment Type	Uploaded By	Last Updated Description	
Correspondence(0)	CURTIS,MARY COLLEEN	06/26/2012	Justification Memo
Refresh Page			Attachment Help

Pre-Interview Basic Information

Requisition #	61036(Ad Requisition)	Org #	08
Dept #	0425	Dept Name	Intercollegiate Athletics
Job Code	PNB2	Title	COMPLIANCE COORDINATOR
Position Number	00040620	Pay Grade	3B

Phone Interviews will not be conducted.

On Campus Interviews **will** be conducted.

Off Campus Interviews will not be conducted.

This is intended to be the last round of interviewing.

Explanation of how related experience was defined:

Related experience was defined as NCAA Division I compliance experience. Years were calculated based on effort (fulltime vs parttime). Total years of experience included compliance work at other NCAA/NAIA levels.

Explanation of how related education was defined:

Required: Bachelor's Degree in any field.

Preferred: Juris Doctorate

Explanation of how equivalent education and experience was defined:

Not needed for this search.

Workflow Status	Complete (Through Workflow)
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Workflow Routing

Seq#	Approval Date	Approver	Approval	Routing	Status	Comments
3	06/29/2012	MODESTOU,JENNIFER ANN	May Approve	EQUAL OP & DIV	Y	Sue Buckley satisfied w/ the Conflict of Interest Mgmt. Plan in place for the search as of 6/29/2012.
2	06/28/2012	BARTA,GARY ALLEN	May Approve	DEANS GROUP	Y	
1	06/28/2012	CURTIS,MARY COLLEEN	Required	DEPT	Y	
0	06/28/2012	CURTIS,MARY COLLEEN	Required	INITIATOR	Y	
Key to above "Status" Column:					Y	Approved
N					R	Requested Returned
V					T	Tacit Approval

Pre-Interview Report

[Show/Hide Equal Opportunity and Diversity's Rating Legend](#)

Candidates highlighted in yellow have been chosen to interview.

Candidates highlighted in light purple have been chosen to interview for the first time.

Candidates with the Gender value italicized means they filled it on the Self Identification Form.

Candidates with a (C) at the end of their name have been marked for a possible conflict of interest.

To edit the applicant's ratings, please click on the "edit icon" located beside the applicant's name.

Applicant	Date Appl. Received	Rating of Rel. Exper.	Years of Exper.	Total Years of Exper.	Gender of Appl	Type of Appl	Action	Race Code	Age 40 or Over
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ASPELMEIER, DAVID WAYNE

06/14/2012 2

11.5 11 M 2 3

MIMS, MONICA (C)

06/17/2012 2

2 3 F 1 3

<u>Applicant</u>	<u>Date Appl. Received</u>	<u>Years Rating of Rel. Exper.</u>	<u>Total Years of Exper.</u>	<u>Type</u>	<u>Gender of Appl.</u>	<u>Action</u>	<u>Race Code</u>	<u>Age 40 or Over</u>
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SORENSEN, SHARI

06/18/2012 4

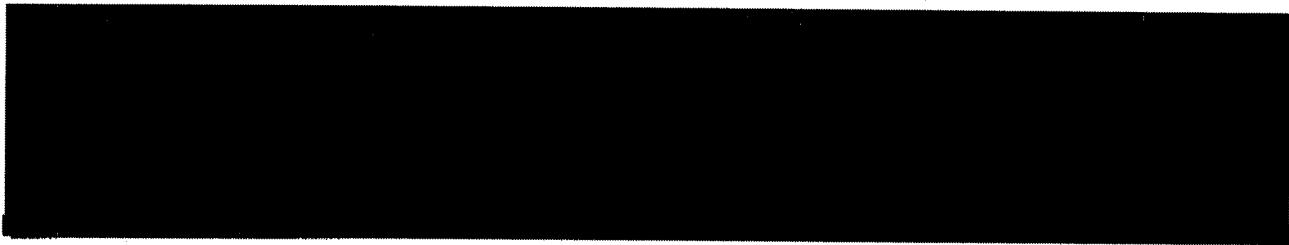
F 3 0 *Race Unknown*

New Supplemental Report

	Total	Hispanic or Latino	Two or more Races	American Indian or Alaska Native	Asian	Black or African American	Native Hawaiian or other Pacific Islander	White	Race Unknown	Male	Female	Gender Unknown
Total Applicants #	64	1	2	0	0	2	0	37	23	48	13	3
Total Applicants %	64	1.6	1.6	0.0	0.0	3.1	0.0	57.8	35.9	75.0	20.3	4.7
I-View Recommended #	5	0	1	0	0	0	0	3	1	3	2	0
I-View Recommended %	5	0.0	1.6	0.0	0.0	0.0	0.0	4.7	1.6	60.0	40.0	0.0

Recruiting Resources

Applicant	Recruiting Resource





IOWA HAWKEYES

The University of Iowa
Carver-Hawkeye Arena
Iowa City IA 52242-1020
Ph: 319-335-9320
Fax: 319-335-9333

June 27, 2012

To: Jennifer Modestou, EOD

From: Mary Curtis, Chair
Associate Director of Athletics for HR/Compliance

Re: Associate Director of Compliance
Req. # 61036

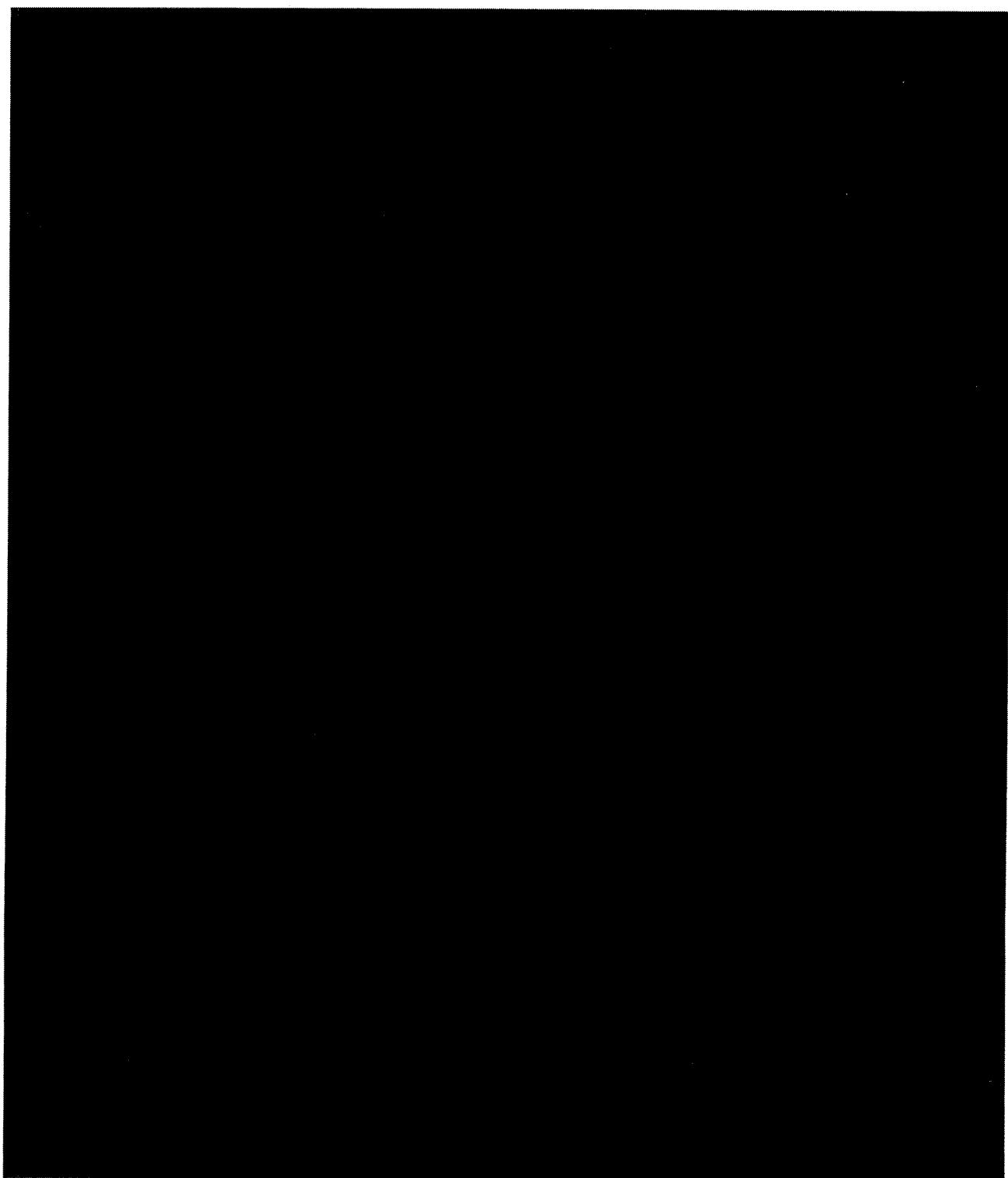
The Department of Athletics would like permission to interview the following individuals for the position of Assistant Director of Compliance:

David Aspelmeier – Compliance Assistant, University of Iowa (Rating: 2)

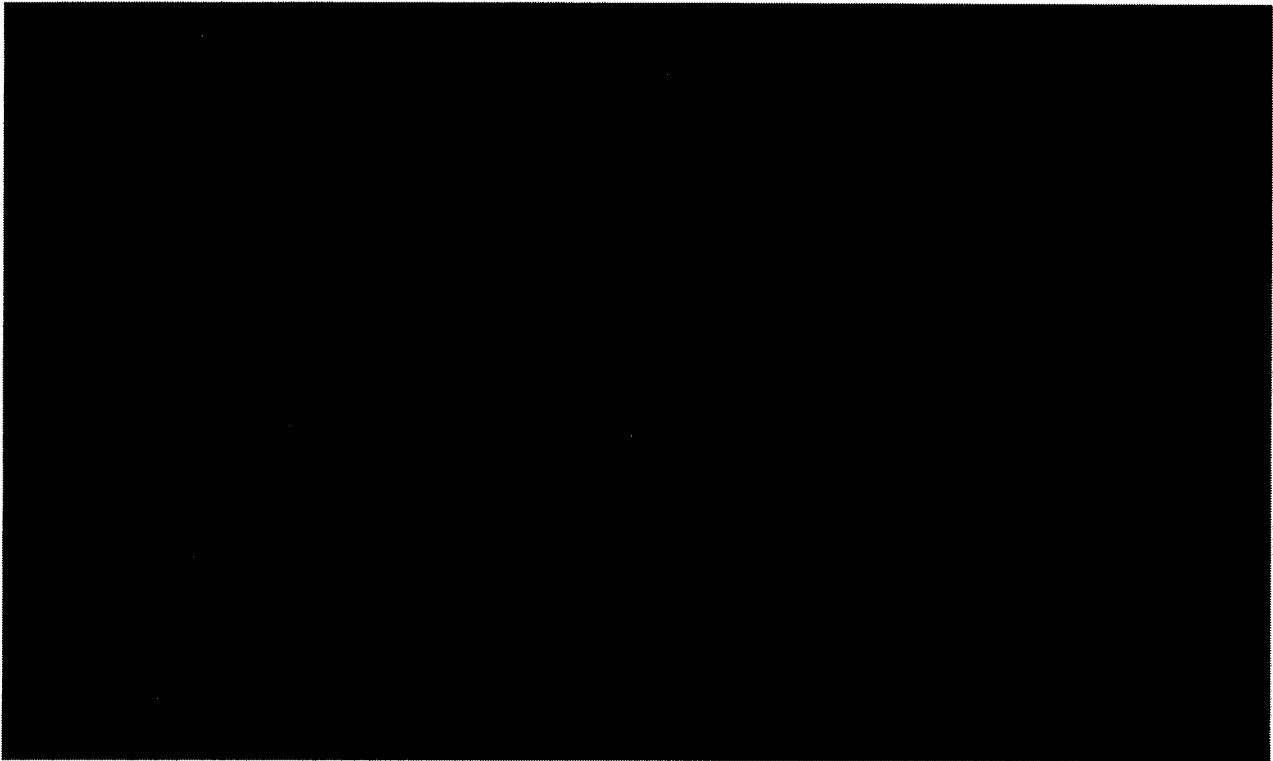
- Meets all of the required and some of the preferred qualifications
- Excellent references
- Does not have Juris Doctorate degree but does have MA in Education
- Has progressive compliance experience at University of Iowa as On-campus Recruiting Coordinator (June 1996 to July 1998), Compliance Assistant (August 1998 to April 2001), Associate Director of Compliance (May 2001 to June 2007) and then re-entered the field as Assistant Director of Compliance (December 2011 to present).
- Has strong communications and interpersonal skills

Monica Mims –Assistant Director of Compliance, University of Southern California (Rating: 2)

- Meets all of the required and some of the preferred qualifications
- Excellent references
- Has Juris Doctorate degree – May 2010
- Has progressive compliance experience as Graduate Intern at Iowa (August 2009 to May 2010), as a fulltime NCAA Eligibility Center Post-Graduate Intern (June 2010 to March 2011), and as an Assistant Director of Athletic Compliance at USC (April 2011 to present).
- Has additional experience of working at the NCAA's national office and Eligibility Center
- Has special experience of working for a major institution that is on NCAA probation which requires additional compliance measures and heightened scrutiny
- Has excellent communications and interpersonal skills



At this time, the Search Committee is not interested in interviewing the following candidates with a similar rating:



The following candidate has veteran's preference:



Please let me know if you have additional questions. Thank you for your assistance.

 THE UNIVERSITY OF IOWA
Jobs@UIOWA - Human Resources
Pre-Interview Report #3314076

Attachments

Attachment Type	Uploaded By	Last Updated	Description
2 Correspondence(0)	CURTIS,MARY COLLEEN	07/10/2012	Justification Memo

Pre-Interview Basic Information

Requisition #	61036(Ad Requisition)	Org #	08
Dept #	0425	Dept Name	Intercollegiate Athletics
Job Code	PNB2	Title	COMPLIANCE COORDINATOR
Position Number	00040620	Pay Grade	3B
<p>Phone Interviews will not be conducted.</p> <p>On Campus Interviews will be conducted.</p> <p>Off Campus Interviews will not be conducted.</p> <p>This is intended to be the last round of interviewing.</p>			

Workflow Routing

Seq#	Approval Date	Approver	Approval	Routing	Status	Comments
3	07/10/2012	MODESTOU,JENNIFER ANN	May Approve	EQUAL OP & DIV	Y	
2	07/10/2012	BARTA,GARY ALLEN	May Approve	DEANS GROUP	Y	
1	07/10/2012	CURTIS,MARY COLLEEN	Required	DEPT	Y	
0	07/10/2012	CURTIS,MARY COLLEEN	Required	INITIATOR	Y	
Key to above "Status" Column:					Y	Approved
					R	Requested/Returned
					V	Voided
					T	Facit Approval

Pre-Interview Report

Show/Hide Equal Opportunity and Diversity's Rating Legend

Candidates highlighted in yellow have been chosen to interview.

Candidates highlighted in light purple have been chosen to interview for the first time.

Candidates with the Gender value italicized means they filled it on the Self Identification Form.

Candidates with a (C) at the end of their name have been marked for a possible conflict of Interest.

To edit the applicant's ratings, please click on the "edit icon" located beside the applicant's name.

Applicant	Date Appl. Received	Rating	Years of Rel. Exper.	Total Years of Exper.	Gender	Type of Appl	Action	Race Code	Age 40 or Over
ASPELMEIER, DAVID WAYNE	06/14/2012	2	11.5	11	M	2	5	[REDACTED]	

MIMS, MONICA (C)

06/17/2012 2 2 3 F 1 3

<u>Applicant</u>	<u>Date Appl. Received</u>	<u>Rating</u>	<u>Years of Rel. Exper.</u>	<u>Total Years of Exper.</u>	<u>Gender</u>	<u>Type</u>	<u>Action</u>	<u>Race Code</u>	<u>Age 40 or Over</u>
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40
ver

SORENSEN, SHARI

06/18/2012 4

F 3 0 Race Unknown

New Supplemental Report

Total	Hispanic	Two or American Asian	Black or Native	White	Race	Male	Female	Gender
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	or Latino	more Races	Indian or Alaska Native	African American	Hawaiian or other Pacific Islander	Unknown	Unknown
Total Applicants							
#	64	1	2	0	0	2	0
Total Applicants							
%	64	1.6	1.6	0.0	0.0	3.1	0.0
I-View Recommended							
#	3	0	1	0	0	0	1
I-View Recommended							
%	3	0.0	1.6	0.0	0.0	0.0	1.6

Recruiting Resources

Applicant	Recruiting Resource





IOWA HAWKEYES

The University of Iowa
Carver-Hawkeye Arena
Iowa City IA 52242-1020
Ph: 319-335-9320
Fax: 319-335-9333

July 10, 2012

To: Jennifer Modestou, EOD

From: Mary Curtis, Chair
Associate Director of Athletics for HR/Compliance

Re: Associate Director of Compliance
Req. # 61036

The Department of Athletics would like permission to invite [REDACTED] for an on-campus interview. We were given permission earlier to invite five candidates but three of the five have withdrawn. If [REDACTED] accepts, it will give us a third quality candidate.

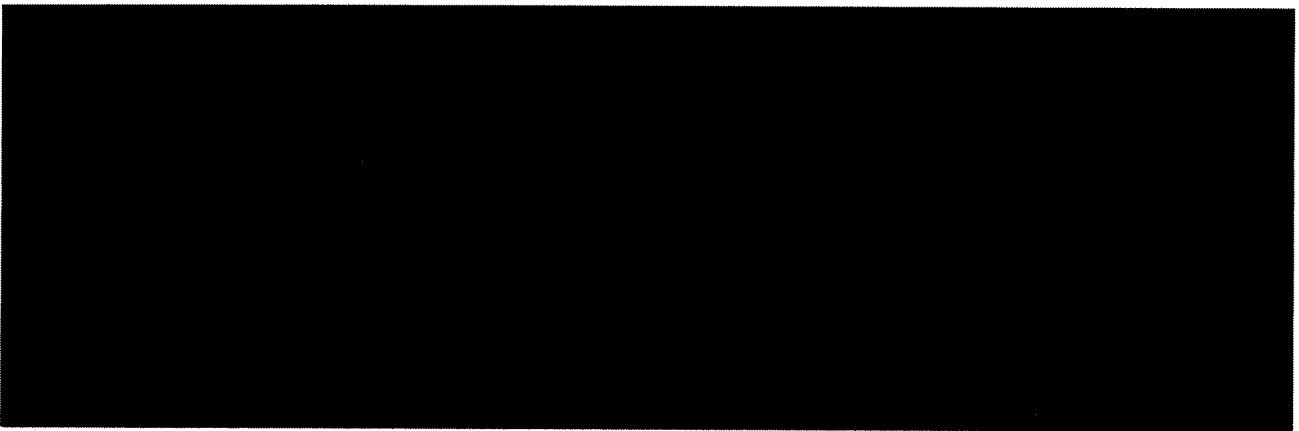
[REDACTED]

The following candidates have already been approved and are scheduled for interviews:

Monica Mims –Assistant Director of Compliance, University of Southern California (Rating: 2)

- Meets all of the required and some of the preferred qualifications
- Excellent references
- Has Juris Doctorate degree – May 2010
- Has progressive compliance experience as Graduate Intern at Iowa (August 2009 to May 2010), as a fulltime NCAA Eligibility Center Post-Graduate Intern (June 2010 to March 2011), and as an Assistant Director of Athletic Compliance at USC (April 2011 to present).
- Has additional experience of working at the NCAA's national office and Eligibility Center

- Has special experience of working for a major institution that is on NCAA probation which requires additional compliance measures and heightened scrutiny
- Has excellent communications and interpersonal skills

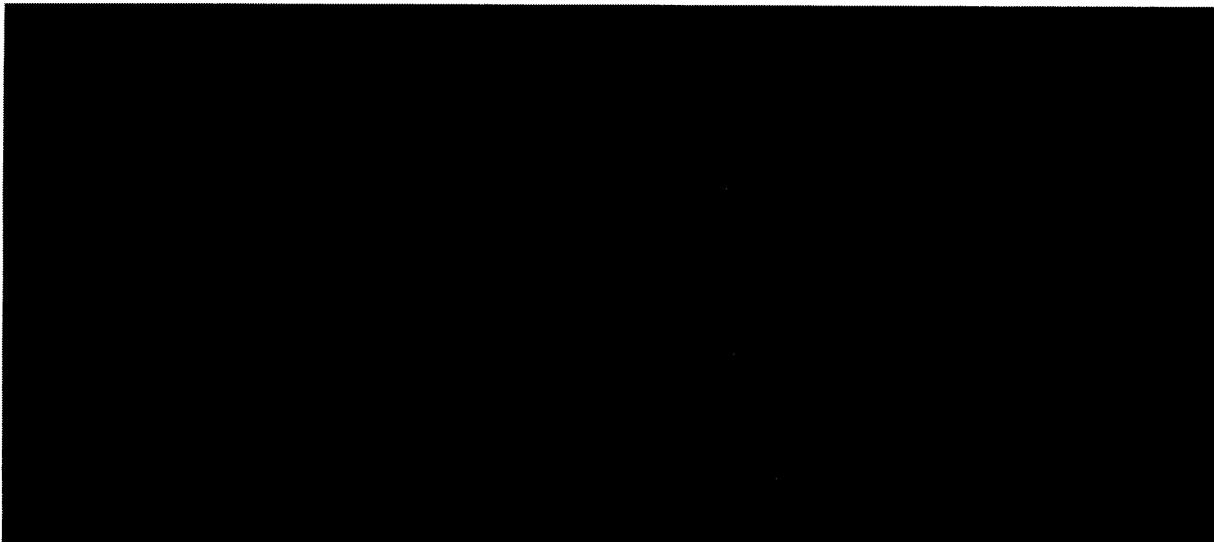


The following approved interviewees have withdrawn:

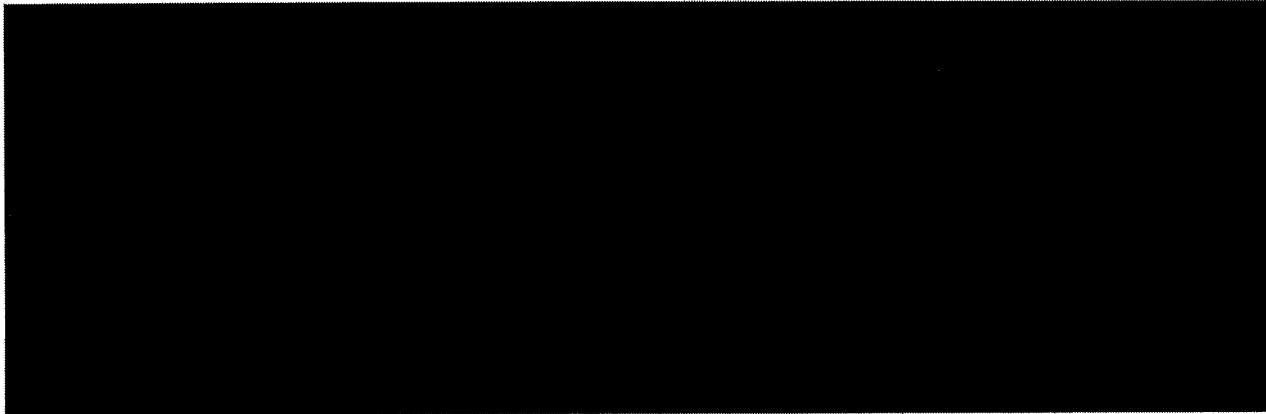
- **David Aspelmeier – Compliance Assistant, University of Iowa (Rating: 2)**



At this time, the Search Committee is not interested in interviewing the following candidates with a similar rating:



The following candidate has veteran's preference:



Please let me know if you have additional questions. Thank you for your assistance.

Attachments

Attachment Type	Uploaded By	Last Updated Description
<input checked="" type="checkbox"/> Offer Letter(0)	NEU,LORI A	07/18/2012 draft offer letter
<input checked="" type="checkbox"/> Justification(0)	NEU,LORI A	07/18/2012

[Refresh Page](#) [Attachment Help](#)

Recommended Candidate: MONICA MIMS

Requisition #	61036(Ad Requisition)	Org #	08
Dept #	0425	Dept Name	Intercollegiate Athletics
Job Code	PNB2	Title	COMPLIANCE COORDINATOR
Position Number	00040620	Pay Grade	3B
Working Title	ASSOCIATE DIRECTOR OF COMPLIANCE-ATHLETICS		
# Applicants	64	Percent Time	100
Annual Salary	\$47,000.00 - \$53,000.00 over 12 months		
Anticipated Start Date	08/01/2012		
Candidate will not be appointed to a faculty appointment.			
This form will not be routed to Compensation and Classification for Salary Justification.			
References have been checked.			
Appointment Type	Existing P & S Position Requisition		
Workflow Status	Complete (Through Workflow)		
*** This form has been changed. To view changes, please click here ***			

Workflow Routing

Seq#	Approval Date	Approver	Approval	Routing	Status	Comments
3	07/19/2012	MODESTOU,JENNIFER ANN	May Approve	EQUAL OP & DIV	Y	Salary range updated per email from Mary Curtis.
2	07/18/2012	BARTA,GARY ALLEN	May Approve	DEANS GROUP	Y	
1	07/18/2012	CURTIS,MARY COLLEEN	Required	DEPT	Y	
0	07/18/2012	NEU,LORI A	Required	INITIATOR	Y	
Key to above "Status" Column:						
N Not Approved						
V Voided						
Y Approved						
R Requested Returned						
T Tacit Approval						

Applicant List

[Show/Hide Equal Opportunity and Diversity's Rating Legend](#)

Candidates highlighted in yellow have been chosen to interview.

Candidates with the Gender value *italicized* means they filled it on the Self Identification Form.

Candidates with a (C) at the end of their name have been marked for a possible conflict of interest.

To edit the applicant's ratings, please click on the "edit icon" located beside the applicant's name.

Applicant	Date Appl. Received	Years of Rel. Exper.	Rating	Total Years of Exper.	Type of Appl.	Post Action	Reason for Decline	Race Code	Age Over
DAVID WAYNE ASPELMEIER	08/14/2012 2	11.5	11	M	2	5	0		

MONICA MIMS(C)

06/17/2012 2 2 3 F 1 3 11

<u>Applicant</u>	<u>Date Appl. Received</u>	<u>Years Rating of Rel. Exper.</u>	<u>Total Years of Exper.</u>	<u>Gender</u>	<u>Type of Appl.</u>	<u>Post Action</u>	<u>I-View for Action</u>	<u>Reason Decline</u>	<u>Race Code</u>	<u>Age 40 or Over</u>
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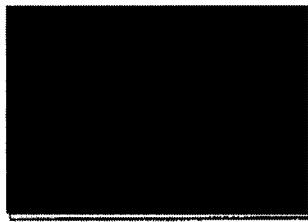
Applicant	Date Appl. Received	Rating	Years of Rel. Exper.	Total Years of Exper.	Gender	Type of Appl	Post Action	I-View for Action	Reason Decline	Race Code	Age 40 or Over
SHARI SORENSEN	06/18/2012 4				F	3	0	0		Race Unknown	

New Supplemental Report

	Total	Hispanic or Latino	Two or more Races	American Indian or Alaska Native	Asian	Black or African American	Native Hawaiian or other Pacific Islander	White	Race Unknown	Male	Female	Gender Unknown
Total Applicants #	64	1	2	0	0	2	0	37	23	48	13	3
Total Applicants %	64	1.6	1.6	0.0	0.0	3.1	0.0	57.8	35.9	75.0	20.3	4.7
I-View Recommended #	3	0	1	0	0	0	0	1	1	2	1	0
I-View Recommended %	3	0.0	1.6	0.0	0.0	0.0	0.0	1.6	1.6	66.7	33.3	0.0

Recruiting Resources

Applicant	Recruiting Resource
[REDACTED]	[REDACTED]





Iowa Hawkeyes

The University of Iowa
Carver-Hawkeye Arena
Iowa City IA 52242-1020
Ph: 319-335-9320
Fax: 319-335-9333

July 18, 2012

DRAFT

Monica Mims
601 East 2nd St., Apt 326
Los Angeles, CA 90012

Dear Monica:

I am pleased to offer you the position of Associate Director of Compliance (University classification: Compliance Coordinator - PNB2) in the Iowa Athletics Department. Your starting date will be August 1, 2012, your salary will be [\$47,000-52,000] per year, and you will be eligible to receive University benefits described below. Your employment is contingent upon completion of a successful credential check and a successful criminal background check. Abiding by the rules and regulations by which we must conduct our athletics programs is also a condition of employment.

The University of Iowa offers a full array of benefits for Professional and Scientific staff that add considerably to the value of your total compensation. University employees are able to select between various benefits options, to best suit your personal needs. Options include a choice of retirement plans. Serious consideration must be given to choosing a retirement plan because your choice of a retirement plan is an **irrevocable decision** that must be made within 60 days of your hire date. The University has two retirement plans from which you may choose, both with generous University contributions. You may choose to participate in either the Iowa Public Employees Retirement System (IPERS) plan or the University Funded Retirement Plan through Teachers Insurance and Annuity Association-College Retirement Equities Fund (TIAA-CREF). The IPERS plan is a Defined Benefit plan and retirement income is determined by a formula based on your years of service and salary earned. The TIAA-CREF plan is a Defined Contribution plan and retirement income depends upon your individual retirement investment returns. If you do not select a plan within the 60 day window, you will automatically be enrolled in IPERS. The University Benefits Office will be sending you additional information about these plans and a Retirement Plan Election Form following your acceptance of this offer.

Your benefit options also include medical and dental insurance, life insurance, disability insurance, and health care and dependent care spending accounts. Insurance coverage is available for you, your spouse or domestic partner, and your children. You will also be eligible for vacation and sick leave.

Detailed information regarding University benefits may be obtained from the Benefits web site at <http://www.uiowa.edu/hr/benefits/>. Any questions concerning the benefit programs may be directed to the University Benefits Office (319-335-2676)

As a condition of employment, you will be required to receive all payments by direct deposit. You may sign up for direct deposit on the University self service web site shortly after you begin your appointment.
<http://hris.uiowa.edu/selfservice/>.

Also, The University of Iowa will pay up to \$2,500 toward your moving expenses to Iowa City. The University has a contract with several national moving companies and our Business Office will contact you with further information. If you choose not to utilize the moving company, we can reimburse you for rental of a moving truck and gasoline expenses.

This position is eligible for career status pending completion of a period of probation during which your performance is evaluated against the department's standards. Based on your classification, your probationary period will be 24 months.

As a UI staff member, you are required to participate in sexual harassment prevention education during the first two months of employment (by October 1, 2012). You can satisfy this requirement by registering for and completing an instructor-led session or specifically designated online courses.

I am enthusiastic about your joining our professional staff and look forward to working with you. To indicate your acceptance of this position, please sign the copy attached and return to me. Following your employment date, you will be provided additional information about the University's fringe benefit program, but if you have questions at this time, please contact Staff Benefits at (319) 335-2676.

Sincerely,

Mary C. Curtis
Associate Director of Athletics

Accepted by _____ Date: _____

Definition of the Relationship of Professional and Scientific Staff Members to The University of Iowa

AT-WILL STATUS applies to a staff member whose administrative, policy-making, or other responsibilities makes it inappropriate to confer career status upon them in the position.

CAREER STATUS carries specific employee rights related to grievance, re-employment, and termination notice provisions. For example, if your position is eliminated because of reorganization or lack of funding, the length of written notice to which you are entitled will be based on your career status date.

PROBATIONARY STATUS is that time during which a staff member's performance is evaluated to determine whether the staff member is demonstrating the capacity for continued performance at a level necessary to meet the department's or unit's standards set for the position.

TERM STATUS is a specific term of appointment that is not to exceed the period designated. That period may be up to three years and may be extended.

TEMPORARY STATUS is a continuous "at-will" appointment of not more than one year to meet an emergency or temporary need of the University.

For more detailed information please refer to the University Operations Manual, III-3.1, Policy to Define the Relationship of Professional and Scientific Staff Members to The University of Iowa.



IOWA HAWKEYES

The University of Iowa
Carver-Hawkeye Arena
Iowa City IA 52242-1020
Ph: 319-335-9320
Fax: 319-335-9333

July 17, 2012

To: Jennifer Modestou, EOD

From: Mary Curtis, Chair-Associate Director of Athletics for HR/Compliance
Nancy Parker, Associate Director of Compliance
Pete Gray, Associate Director of Compliance
Mel Sanders, Associate Director of Compliance
Jack Dahm, Head Baseball Coach
Ellie Herman, Faculty Athletics Rep
Gene Parkin, Faculty Athletics Rep

Re: Associate Director of Compliance
Req. # 61036

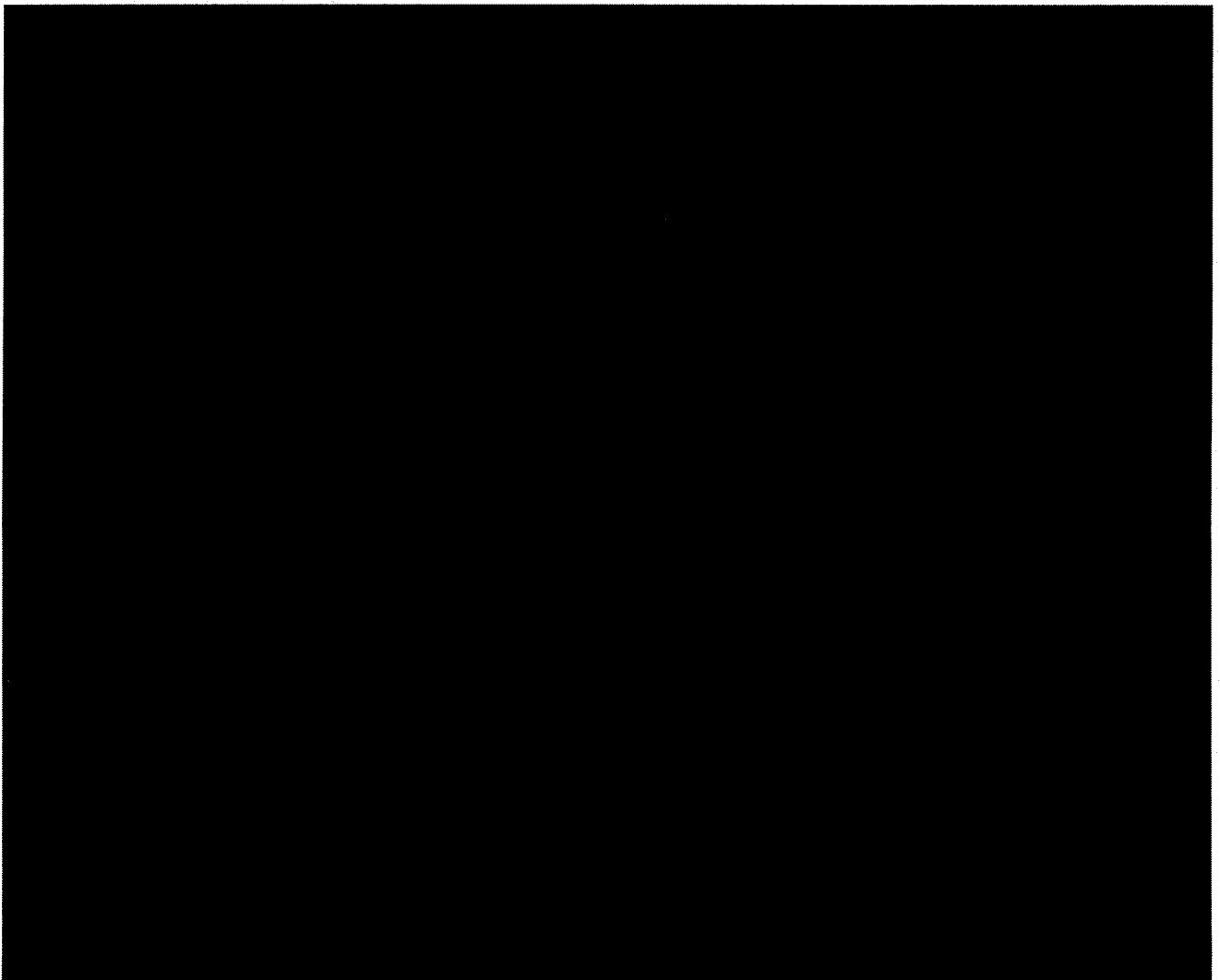
The Department of Athletics requests permission to offer the Associate Director of Compliance position to Monica Mims. The salary range for this offer is \$47,000 to \$52,000.

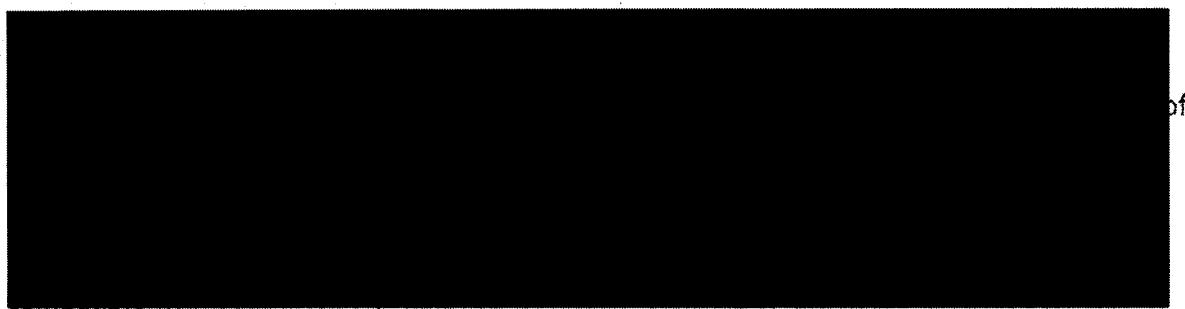
Both the Search Committee and the Director of Athletics are aware that this candidate presents a conflict of interest employment situation. Steps were taken early in the search process to remove the related employee from the search process. In spite of this potential conflict, the Search Committee's recommendation was unanimous in its recommendation and placed Ms. Mims well in front of her fellow interviewees due to her unique professional experiences and skill set. After consultation with the Director of Athletics, we are making this request, fully understanding the institution's expectations regarding a viable management plan for this employment conflict.

Monica Mims –Assistant Director of Compliance, University of Southern California

The consensus was that Ms. Mims is the most qualified and the best fit. The combination of experiences that placed her ahead of the other interviewees was her (a) Juris Doctorate degree, (b) NCAA employment experience with an emphasis on the Eligibility Center - dealing primarily with initial eligibility, NILs and amateurism issues, (c) employment experience at a major institution with high profile sports/coaches while the institution was on probation and (d) presentation and interpersonal skills. She has the greatest potential of those interviewed to significantly impact our compliance operation and Athletics Department. During her interview, she was knowledgeable and articulate regarding regulations and process, professional in her

comportment and demeanor, and was by far the best presenter of the interviewees. She was able to articulate how each experience – from being a Division I student-athlete through a variety of compliance and administrative internships to her current position at USC - developed her philosophy, knowledge, interpersonal skills, work style, and decision-making protocol. She possesses a valuable professional network and has special insight from working for an institution that was required to establish and enforce new structure, policies, protocols, and enhanced scrutiny of its high profile athletes and coaches. She also has strong computer skills, ample experience with the NCAA online data management system, and is currently providing leadership in the strategic development of USC Compliance's educational twitter feed. Her various perspectives and communication skills give her the ability to relate well to students-athletes, coaches, and boosters. Ms. Mims has a strong sense of institutional control due to the combination of her NCAA and campus employment experiences, has experience working under the most extreme conditions of scrutiny and internal control, and has developed a solid approach to exploring inquiries that fall within the gray area of rules and propriety. Of all the candidates, she will provide the best and most integrated fit with institutional core values, principles of institutional control and culture.





If Ms. Mims is offered the position and turns it down, the Search Committee will reconvene to consider its options. Please let me know if you have additional questions. Thank you for your assistance.

University of Iowa Workflow System

Self Service Home HR Applications FO Applications Workflow HR Transactions Purchase Reqs Sign In/Out

FO Portal / Workflow Options >Appointment Transaction # 3338993 (View Appt History)

Professional & Scientific Regular Fiscal Appointment Form

Attachments

Attachment Type	Uploaded By	Last Updated	Description
Offer Letter(0)	NEU,LORIA	08/01/2012	

[Refresh Page](#) [Attachment Help](#)

FULL NAME	EFFDT	ORG	DEPT	JBCD	TITLE	GRD	%TM	TOTAL \$
MONICA R MIMS	08/13/2012	08	0425	PNB2	Compliance Coordinator	3B	100	53000
JUMP TO:	[Job Info P&S Stat MFKs Degrees Personal]							

SEQ#	APPRV DT	APPROVER	APPROVAL ROUTING	STAT	COMMENTS
3	08/03/2012	GARCIA,CONSUELO	Permitted Comp and Class	Y	
2	08/02/2012	KELLY,TOBEY ANN	Permitted Equal Op & Div	Y	
1	08/02/2012	CURTIS,MARY COLLEEN	Required DEPT	Y	
1	08/01/2012	ABBOTT,MARK B	Required DEPT	Y	
0	08/01/2012	NEU,LORIA	Required INITIATOR	Y	

Key to above "STAT" Column:
 Y Approved
 N Not Approved
 R Requested Returned
 V Voided
 T Tacit Approval

Effective Dt: 08/13/2012

Org & Department Information

Organization	08 Athl-Intercollegiate Athletics	Department ID	08-0425
Jobcode / Title / Paygrade	PNB2/Compliance Coordinator/3B	Position Number	00040620
View Function Family Info			
Patient Care Flag	N/A	Blood Borne Pathogen Risk	NO

Affirmative Action

Search required. Formal search conducted. Search and Selection Summary, salary rate, and offer letter approved by central administration and the Office of Equal Opportunity and Diversity.

Requisition Number	61036	P&S End Date	08/12/2014
Employee Class	Employee		
P&S Status	Probationary		
Percent Time	100%		

NEW MFK INFORMATION:

[\(top\)](#)

Total Compensation: 53000 (divided into 12 MONTHLY payments)

FND	ORG	DEPT	SDEPT	GRANTPG	IACT	IACT	DPACT	FN	CCTR	Annl\$	Pct/TM	MONTHLY \$
408	08	0425	36280	00000000	5202	000	00000	00	0000	53000.04	100	4416.67

Furlough Information:

Is this a furlough hire? NO

Attachment Information:

Offer Letter YES

Moving Expenses Reimbursed

YES

Background Check Required

YES

Background Check Complete

NO

Remarks

Education Information

(top)

All credentials (degrees, certifications, licenses) related to this hire or the setting of salary must be verified. Contact Judie Hermsen with questions regarding degrees and licenses.

# Degree	Institution	Year	Verification Required	Verification Complete			
1 Bachelor of Arts	University of Iowa	2007	YES	YES			
2 Juris Doctor	University of Iowa	2010	NO	NO			
3			NO	NO			
# Specialty	Cert #	License Type	Lic #	State	Expr. Date	Req'd?	Verified?
1						NO	NO
2						NO	NO
3						NO	NO

Conflict of Interest In Employment:

Yes There is a conflict of interest, and a management plan has NOT been filed.

General Information

(top)

(Employee Exists On System)

Employee ID Number: [REDACTED]

Gender FEMALE

Last Name MIMS

Marital Status SINGLE

First Name MONICA

DOB [REDACTED]

Middle R

Hispanic or Latino Ethnicity

Race

Disabled? [REDACTED]

Veteran Status: [REDACTED]

Disabled Vet? [REDACTED]

Citizenship Information

Citizenship Status

US CITIZEN

Citizenship

N/A

Country

Immigration Status

N/A

Immigration

N/A

Start Date

Immigration End Date N/A

NO

"I attest that I have personally reviewed the supporting documentation of this employee's immigration status and the documentation was used to provide the required appointment information." ...

Initiator Information:

Initiator: NEULORIA

Work Address: N411 CHA

Work Phone: 319/335-8874

Email: lori-neu@uiowa.edu

Last Modified By: NEULORIA

Last Modified On: 08/01/2012

Status: *Complete (Through Workflow)*

HR System Status: YES (ONLINE IN HR SYSTEM)

Draft Date: 08/01/2012

Date In Workflow: 08/01/2012

Complete Date: 08/03/2012

Direct Questions & Suggestions to hr-transaction@uiowa.edu
Human Resources is a department in the Finance and Operations organization.
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KELLYTA
8:36 AM 01/09/2013



Iowa Hawkeyes

The University of Iowa
Carver-Hawkeye Arena
Iowa City IA 52242-1020
Ph: 319-335-9320
Fax: 319-335-9333

July 19, 2012

Monica Mims
601 East 2nd St., Apt 326
Los Angeles, CA 90012

Dear Monica:

I am pleased to offer you the position of Associate Director of Compliance (University classification: Compliance Coordinator - PNB2) in the Iowa Athletics Department. Your starting date will be August 13, 2012, your salary will be \$3,000 per year, and you will be eligible to receive University benefits described below. Your employment is contingent upon completion of a successful credential check and a successful criminal background check. Abiding by the rules and regulations by which we must conduct our athletics programs is also a condition of employment.

The University of Iowa offers a full array of benefits for Professional and Scientific staff that add considerably to the value of your total compensation. University employees are able to select between various benefits options, to best suit your personal needs. Options include a choice of retirement plans. Serious consideration must be given to choosing a retirement plan because your choice of a retirement plan is an **irrevocable decision** that must be made within 60 days of your hire date. The University has two retirement plans from which you may choose, both with generous University contributions. You may choose to participate in either the Iowa Public Employees Retirement System (IPERS) plan or the University Funded Retirement Plan through Teachers Insurance and Annuity Association-College Retirement Equities Fund (TIAA-CREF). The IPERS plan is a Defined Benefit plan and retirement income is determined by a formula based on your years of service and salary earned. The TIAA-CREF plan is a Defined Contribution plan and retirement income depends upon your individual retirement investment returns. If you do not select a plan within the 60 day window, you will automatically be enrolled in IPERS. The University Benefits Office will be sending you additional information about these plans and a Retirement Plan Election Form following your acceptance of this offer.

Your benefit options also include medical and dental insurance, life insurance, disability insurance, and health care and dependent care spending accounts. Insurance coverage is available for you, your spouse or domestic partner, and your children. You will also be eligible for vacation and sick leave.

Detailed information regarding University benefits may be obtained from the Benefits web site at <http://www.uiowa.edu/hr/benefits/>. Any questions concerning the benefit programs may be directed to the University Benefits Office (319-335-2676)

As a condition of employment, you will be required to receive all payments by direct deposit. You may sign up for direct deposit on the University self service web site shortly after you begin your appointment. <http://hris.uiowa.edu/selfservice/>

Also, The University of Iowa will pay up to \$2,500 toward your moving expenses to Iowa City. The University has a contract with several national moving companies and our Business Office will contact you with further information. If you choose not to utilize the moving company, we can reimburse you for rental of a moving truck and gasoline expenses.

This position is eligible for career status pending completion of a period of probation during which your performance is evaluated against the department's standards. Based on your classification, your probationary period will be 24 months.

As a UI staff member, you are required to participate in sexual harassment prevention education during the first two months of employment (by October 13, 2012). You can satisfy this requirement by registering for and completing an instructor-led session or specifically designated online courses.

I am enthusiastic about your joining our professional staff and look forward to working with you. To indicate your acceptance of this position, please sign the copy attached and return to me. Following your employment date, you will be provided additional information about the University's fringe benefit program, but if you have questions at this time, please contact Staff Benefits at (319) 335-2676.

Sincerely,

Mary Curtis

Mary C. Curtis
Associate Director of Athletics

— 1 —

Monica Moran

Date: 7-19-2012



Transaction # 3266519

Requisition #: 61036
Requisition Type: Existing P & S Position Requisition
Position Number: 00040620
Job Function: Audit Compliance Legal & Risk
Job Family: Compliance
University Classification: Compliance Coordinator (PNB2)
Pay Level: 3B
Org: Athletics (08-0425)

WORKFLOW ATTACHMENTS

Attachments

Attachment Type	Uploaded By	Last Updated	Description
External Ad(0)	NEU,LORI A	06/01/2012	
Job Description(0)	NEU,LORI A	06/01/2012	
Refresh Page Attachment Help			



This form has been changed. To view changes, please click [here](#)

POSITION DETAILS

Percent Time Range: 100
Annual Salary Range: \$49000.00 to Commensurate
Proposed Appt Start Date: Monday, July 30th, 2012
Working Title: ASSOCIATE DIRECTOR OF COMPLIANCE-ATHLETICS
Application Option: This requisition is using the online Jobs@UIOWA system.
Requisition Purpose: This requisition is intended to be used to hire one individual.
Criminal Background Check: This requisition's position **requires** a Criminal Background Check.
Drivers License Required: This requisition's position **does not require** driving as a part of the job duties.

ADVERTISING DETAILS

ADVERTISING DATES

Proposed Job Line Start Date: Monday, June 4th, 2012
Proposed Job Line End Date: Monday, June 18th, 2012

DEPARTMENT CONTACT INFORMATION

Department URL: www.hawkeyesports.com
University Information: Willie F Mims - INTERCOLLEGIATE ATHLETICS
301 CHA
Phone: 319-335-9598

The Internal Contact's Information will be used on the Professional Job Line.

Phone information not displaying on the Professional Job Line.
Email Address information not displaying on the Professional Job Line.

Contact Name: Willie F Mims
Mailing Address: Athl-Intercollegiate Athletics
CARVER - HAWKEYE ARENA
1 ELLIOTT DR
301 CHA
IOWA CITY, IA 52242

JOB DESCRIPTION/REQUIREMENTS

Job Duties:

The University of Iowa is seeking applications for an Associate Director of Compliance to provide assistance to the Co-Directors of Compliance in maintaining day-to-day oversight of a Division I NCAA rules education and compliance program involving 24 sports.

Responsibilities include: NCAA rules interpretations; assist in the investigation and reporting of NCAA violations; assist in the planning, development and implementation of a comprehensive rules education program for internal and external constituents; coordinate the annual certification of student-athletes; assist in the preparation and maintenance of Squad Lists; assist with supervision and the monitoring of recruitment activities; monitor collection process of information on prospective student athletes' academic credentials; oversee the monitoring of athletics-related financial aid; assist in monitoring team travel and related policies; assist in auditing sport team records, e.g. CARA hours, travel limits, class days missed, etc.; assist with overall compliance policy development, reviews, audits and reports; assist in monitoring interns and other compliance support staff; develop self-reports and assist with preparation of NCAA waivers; serve on Athletics Student Services and Compliance Management Team; assist with student athlete educational programming.

Education Requirement:

A Bachelor's degree or an equivalent combination of education and experience is required.

Experience Required:

Reasonable (1-3 years) progressive experience in an NCAA Division I compliance role; demonstrated comprehensive knowledge of NCAA rules, regulations, processes, interpretations, appeals and governance structure; demonstrated commitment to institutional control. Excellent interpersonal and organizational skills; excellent written and oral communication skills. Proficiency in commonly used technological processes such as word processing, spreadsheets, databases, LSDBI, and NCAA CAI.

Desirable Qualifications:

Juris Doctorate; prior experience in compliance and student athlete educational programming at either the Division I-A level, Conference, or the NCAA; supervisory experience; proven experience in working with high profile intercollegiate sports programs; and a demonstrated familiarity with social media (web-based and mobile based technologies). Preference will be given to the candidate that can most effectively meet the administrative and programmatic needs of the Iowa Student Services and Compliance unit.

ONLINE JOB APPLICATION OPTIONS**Application Type:**

This job requires basic information, plus a resume

Cover Letter:

A plain text cover letter is required

References:

References must be filled out online during the application process, however, the applicant is only allowed to choose from their professional references.

Number of References: 3**RECRUITING RESOURCES****Internet Advertising (Websites, Online Journals, Online Newspapers, Listservs - Non University of Iowa)**

Other 3 (hawkeyesports.com)

Other 2 (National Assn of Athletics Compliance site)

Other 1 (NCAA website)

University of Iowa Sources: Websites, Listservs, Publications, Contacts

UI Departmental website

SEARCH COMMITTEE**Search Committee Chair:**

MIMS,WILLIE FRED

Departmental Executive

BARTA,GARY ALLEN

Officer:**Search Committee:**

ELLEN HERMAN ,GENE F PARKIN ,JACK DAHM ,MEL SANDERS ,PETER V GRAY

Search Committee Admins:

LORI A NEU ,MARY C CURTIS ,NANCY L PARKER

MISCELLANEOUS**Requisition Status:**

Closed

ATTACHMENTS**Attachments**

Attachment Type	Uploaded By	Last Updated	Description
External Ad(0)	NEU,LORI A	06/01/2012	
Job Description(0)	NEU,LORI A	06/01/2012	

[Refresh Page](#) [Attachment Help](#)

WORKFLOW DETAILS**INITIATOR INFORMATION**

Initiator: NEU,LORI A
Work Address: N411 CHA
Work Phone: 319-335-8874
Email: lori-neu@uiowa.edu

BASIC WORKFLOW INFORMATION

Status: Complete (Through Workflow)
Last Modified By: GARCIA,CONSUELO
Last Modified On: 06/04/2012
Draft Date: 06/01/2012
Date In Workflow: 06/01/2012
Complete Date: 06/04/2012

WORKFLOW ROUTING

Seq#	Approval Date	Approver	Approval	Routing	Status	Comments
3	06/04/2012	MODESTOU,JENNIFER ANN	May Approve	EQUAL OP & DIV	Y	
2	06/04/2012	GARCIA,CONSUELO	May Approve	COMP AND CLASS Y		
1	06/01/2012	ABBOTT,MARK B	Required	DEPT	Y	
1	06/01/2012	CURTIS,MARY COLLEEN	Required	DEPT	Y	
0	06/01/2012	NEU,LORI A	Required	INITIATOR	Y	

UniversityID: 00060770 | EmployeeID: 1007518 | Date: 12/17/2012 3:26 PM | [Finance and Operations](#) | Copyright © The University of Iowa 2012. All Rights Reserved.

University of Iowa Workflow System

[Self Service Home](#) [HR Applications](#) [PO Applications](#) [Workflow](#) [HR Transactions](#) [Purchase Reqs](#) [Sign In/Out](#)

FO/HR Workflow > Form Changes To Transaction # 3266519
(The most recent changes are listed first.)

Who Did This?	When Did They Do It?	To What Did They Do This?	What Was The Prior Value?	What Was The New Value?
GARCIA,CONSUELO	04-JUN-12	LOW SALARY	0	49000

Direct Questions & Suggestions to workflow@uiowa.edu
Human Resources is a department in the Finance and Operations organization.
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LANEU
3:30 PM 12/17/2012

THE UNIVERSITY OF IOWA

Jobs@UIOWA - Human Resources

Welcome Lori Neu [LOGOUT](#)

Pre-Interview Report #3302202

Pre-Interview Basic Information

Requisition #	61036(Ad Requisition)	Org #	08
Dept #	0425	Dept Name	Intercollegiate Athletics
Job Code	PNB2	Title	COMPLIANCE COORDINATOR
Position Number	00040620	Pay Grade	3B
Phone Interviews will not be conducted.			
On Campus Interviews will be conducted.			
Off Campus Interviews will not be conducted.			
This is intended to be the last round of interviewing.			
Explanation of how related experience was defined:			
Related experience was defined as NCAA Division I compliance experience. Years were calculated based on effort (fulltime vs parttime). Total years of experience included compliance work at other NCAA/NAIA levels.			
Explanation of how related education was defined:			
Required: Bachelor's Degree in any field.			
Preferred: Juris Doctorate			
Explanation of how equivalent education and experience was defined:			
Not needed for this search.			
Workflow Status	Complete (Through Workflow)		

Workflow Routing

Seq#	Approval Date	Approver	Approval	Routing	Status	Comments
3	06/29/2012	MODESTOU,JENNIFER ANN	May Approve	EQUAL OP & DIV	Y	Sue Buckley satisfied w/ the Conflict of Interest Mgmt. Plan in place for the search as of 6/29/2012.
2	06/28/2012	BARTA,GARY ALLEN	May Approve	DEANS GROUP	Y	
1	06/28/2012	CURTIS,MARY COLLEEN	Required	DEPT	Y	
0	06/28/2012	CURTIS,MARY COLLEEN	Required	INITIATOR	Y	
Key to above "Status" Column:				Y Approved R Requested Returned T Tacit Approval		
N Not Approved V Voided						

Pre-Interview Report

Show/Hide Equal Opportunity and Diversity's Rating Legend

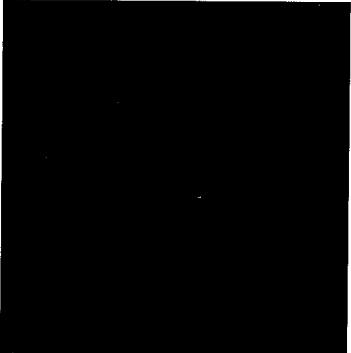
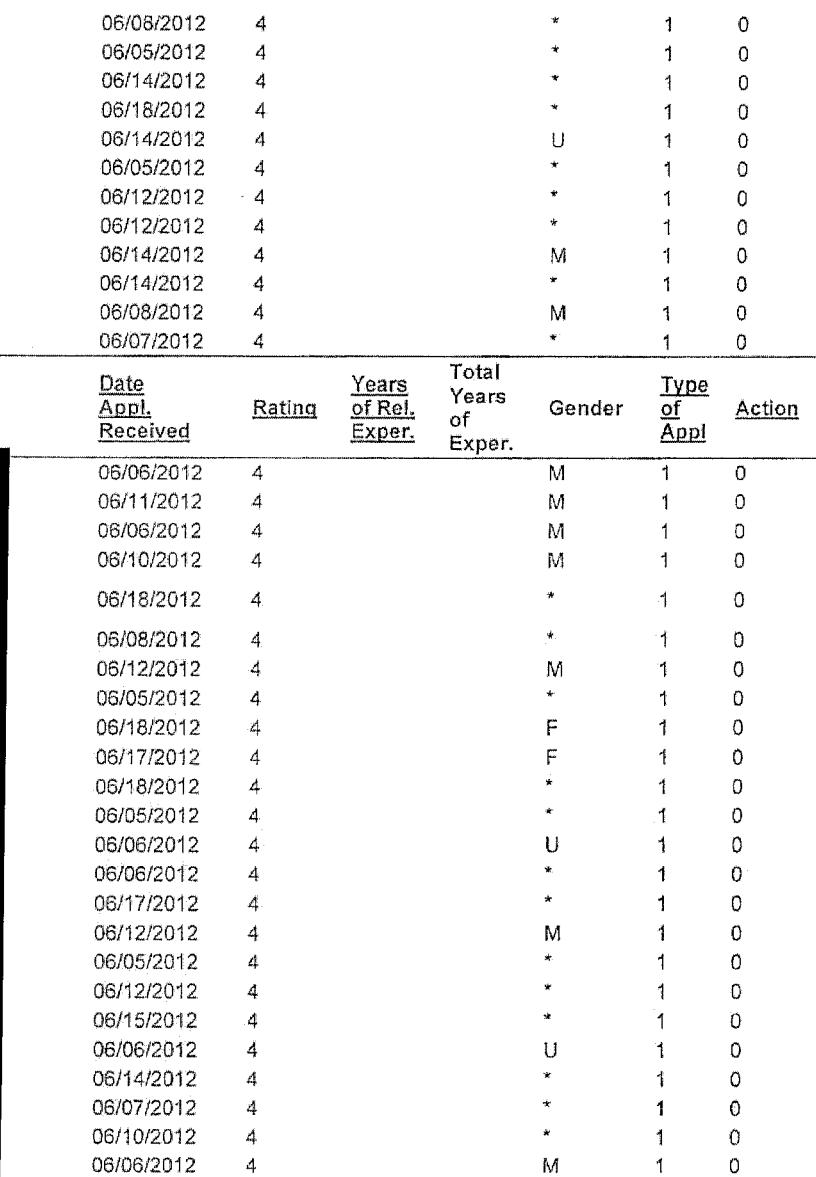
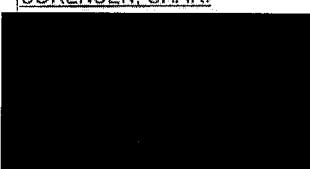
Candidates highlighted in yellow have been chosen to interview.

Candidates highlighted in light purple have been chosen to interview for the first time.

Candidates with the Gender value of "", filled it on the Self Identification Form.

Candidates with a (C) at the end of their name have been marked for a possible conflict of interest.

Applicant	Date Appl. Received	Rating	Years of Rel. Exper.	Total Years of Exper.	Gender	Type of Appl	Action
ASPELMEIER, DAVID WAYNE	06/14/2012	2	11.5	11	*	2	3
	06/05/2012	2	1	5	*	1	0
	06/07/2012	2	1.5	2	*	1	0
MIMS, MONICA (C)	06/17/2012	2	2	3	*	1	3
	06/18/2012	2	5	6	*	1	0
	06/13/2012	2	2	3	*	1	3
	06/10/2012	2	2	3	M	1	3
	06/05/2012	2	2.5	3	*	1	3
	06/05/2012	4			*	1	0
	06/05/2012	4			*	1	0
	06/05/2012	4			M	1	0
	06/18/2012	4			M	1	0
	06/10/2012	4			*	1	0

	06/08/2012	4	*	1	0
	06/05/2012	4	*	1	0
	06/14/2012	4	*	1	0
	06/18/2012	4	*	1	0
	06/14/2012	4	U	1	0
	06/05/2012	4	*	1	0
	06/12/2012	4	*	1	0
	06/12/2012	4	*	1	0
	06/14/2012	4	M	1	0
	06/14/2012	4	*	1	0
	06/08/2012	4	M	1	0
	06/07/2012	4	*	1	0
<u>Applicant</u>	<u>Date Appl. Received</u>	<u>Rating</u>	<u>Years of Rel. Exper.</u>	<u>Total Years of Exper.</u>	<u>Type of Appl</u>
	06/06/2012	4		M	1 0
	06/11/2012	4		M	1 0
	06/06/2012	4		M	1 0
	06/10/2012	4		M	1 0
	06/18/2012	4	*	1	0
	06/08/2012	4	*	1	0
	06/12/2012	4	M	1	0
	06/05/2012	4	*	1	0
	06/18/2012	4	F	1	0
	06/17/2012	4	F	1	0
	06/18/2012	4	*	1	0
	06/05/2012	4	*	1	0
	06/06/2012	4	U	1	0
	06/06/2012	4	*	1	0
	06/17/2012	4	*	1	0
	06/12/2012	4	M	1	0
	06/05/2012	4	*	1	0
	06/12/2012	4	*	1	0
	06/15/2012	4	*	1	0
	06/06/2012	4	U	1	0
	06/14/2012	4	*	1	0
	06/07/2012	4	*	1	0
	06/10/2012	4	*	1	0
	06/06/2012	4	M	1	0
	06/17/2012	4	*	1	0
	<u>Date Appl. Received</u>	<u>Rating</u>	<u>Years of Rel. Exper.</u>	<u>Total Years of Exper.</u>	<u>Type of Appl</u>
	06/12/2012	4		M	1 0
	06/09/2012	4		*	1 0
	06/15/2012	4		*	1 0
	06/17/2012	4		*	1 0
	06/08/2012	4		*	1 0
	06/08/2012	4		*	1 0
	06/06/2012	4		M	1 0
	06/18/2012	4		F	3 0
	06/11/2012	4		M	1 0
	06/08/2012	4		*	1 0
	06/05/2012	4		*	1 0
	06/05/2012	4		*	1 0
	06/11/2012	4	*	1	0
<u>SORENSEN, SHARI</u>					

Applicant	Recruiting Resource
[REDACTED]	Other 1 Other 3 Other 1 Other 1 Other 1 Other 1 Other 1 Other 1 Other 1 Other 1 Other 1 UI Departmental website Other 1 Other 1 Other 1 Other 1 Other 1 Other 1 Other 1 University of Iowa websites - Human Resources/Employment website Other 1 Other 2 Other 1
[REDACTED]	University of Iowa websites - Human Resources/Employment website University of Iowa websites - Human Resources/Employment website UI Departmental website University of Iowa websites - Human Resources/Employment website Other 1 UI Departmental website University of Iowa websites - Human Resources/Employment website Other 1 Other 1 Other 1 Other 1 Other 1 UI Departmental website Other 1 University of Iowa websites - Human Resources/Employment website UI Departmental website Other 1 University of Iowa websites - Human Resources/Employment website Other 1 University of Iowa websites - Human Resources/Employment website Other 1 www.indeed.com University of Iowa websites - Human Resources/Employment website Other 1
DAVID WAYNE ASPELMEIER	[REDACTED]
[REDACTED]	

THE UNIVERSITY OF IOWA

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Jobs@UIOWA - Human Resources

Pre-Interview Report #3314076

Pre-Interview Basic Information

Requisition #	61036(Ad Requisition)	Org #	08
Dept #	0425	Dept Name	Intercollegiate Athletics
Job Code	PNB2	Title	COMPLIANCE COORDINATOR
Position Number	00040620	Pay Grade	3B
Phone Interviews will not be conducted.			
On Campus Interviews will be conducted.			
Off Campus Interviews will not be conducted.			
This is intended to be the last round of interviewing.			
Explanation of how related experience was defined:			
Division I compliance experience, prorated depending on fulltime/parttime nature of position.			
Explanation of how related education was defined:			
Bachelor's Degree			
Explanation of how equivalent education and experience was defined:			
Bachelor's Degree			
Workflow Status	Complete (Through Workflow)		

Workflow Routing

Seq#	Approval Date	Approver	Approval	Routing	Status	Comments
3	07/10/2012	MODESTOU,JENNIFER ANN	May Approve	EQUAL OP & DIV	Y	
2	07/10/2012	BARTA,GARY ALLEN	May Approve	DEANS GROUP	Y	
1	07/10/2012	CURTIS,MARY COLLEEN	Required	DEPT	Y	
0	07/10/2012	CURTIS,MARY COLLEEN	Required	INITIATOR	Y	
Key to above "Status" Column:						
N Not Approved				Y Approved		
V Voided				R Requested Returned		
				T Tacit Approval		

Pre-Interview Report

[Show/Hide Equal Opportunity and Diversity's Rating Legend](#)

Candidates highlighted in yellow have been chosen to interview.

Candidates highlighted in light purple have been chosen to interview for the first time.

Candidates with the Gender value of "", filled it on the Self Identification Form.

Candidates with a (C) at the end of their name have been marked for a possible conflict of interest.

Applicant	Date Appl. Received	Rating	Years of Rel. Exper.	Total Years of Exper.	Gender	Type of Appl	Action
ASPELMEIER, DAVID WAYNE	06/14/2012	2	11.5	11	*	2	5
	06/05/2012	2	1	5	*	1	0
	06/07/2012	2	1.5	2	*	1	0
MIMS, MONICA (C)	06/17/2012	2	2	3	*	1	3
	06/18/2012	2	5	6	*	1	3
	06/13/2012	2	2	3	*	1	5
	06/10/2012	2	2	3	M	1	3
	06/05/2012	2	2.5	3	*	1	5
	06/05/2012	4			*	1	0
	06/05/2012	4			*	1	0
	06/05/2012	4			M	1	0
	06/18/2012	4			M	1	0
	06/10/2012	4			*	1	0
	06/08/2012	4			*	1	0
	06/05/2012	4			*	1	0
	06/14/2012	4			*	1	0
	06/18/2012	4			*	1	0
	06/14/2012	4			U	1	0

	06/05/2012	4	*	1	0
	06/12/2012	4	*	1	0
	06/12/2012	4	*	1	0
	06/14/2012	4	M	1	0
	06/14/2012	4	*	1	0
	06/08/2012	4	M	1	0
	06/07/2012	4	*	1	0
<u>Applicant</u>	<u>Date Appl. Received</u>	<u>Rating</u>	<u>Years of Rel. Exper.</u>	<u>Total Years of Exper.</u>	<u>Type of Appl</u>
	06/06/2012	4		M	1 0
	06/11/2012	4		M	1 0
	06/06/2012	4		M	1 0
	06/10/2012	4		M	1 0
	06/18/2012	4	*	1	0
	06/08/2012	4	*	1	0
	06/12/2012	4	M	1	0
	06/05/2012	4	*	1	0
	06/18/2012	4	F	1	0
	06/17/2012	4	F	1	0
	06/18/2012	4	*	1	0
	06/05/2012	4	*	1	0
	06/06/2012	4	U	1	0
	06/06/2012	4	*	1	0
	06/17/2012	4	*	1	0
	06/12/2012	4	M	1	0
	06/05/2012	4	*	1	0
	06/12/2012	4	*	1	0
	06/15/2012	4	*	1	0
	06/06/2012	4	U	1	0
	06/14/2012	4	*	1	0
	06/07/2012	4	*	1	0
	06/10/2012	4	*	1	0
	06/06/2012	4	M	1	0
	06/17/2012	4	*	1	0
<u>Applicant</u>	<u>Date Appl. Received</u>	<u>Rating</u>	<u>Years of Rel. Exper.</u>	<u>Total Years of Exper.</u>	<u>Type of Appl</u>
	06/12/2012	4		M	1 0
	06/09/2012	4	*	1	0
	06/15/2012	4	*	1	0
	06/17/2012	4	*	1	0
	06/08/2012	4	*	1	0
	06/08/2012	4	*	1	0
	06/06/2012	4	M	1	0
	06/18/2012	4	F	3	0
	06/11/2012	4	M	1	0
	06/08/2012	4	*	1	0
	06/05/2012	4	*	1	0
	06/05/2012	4	*	1	0
	06/11/2012	4	*	1	0
	06/17/2012	4	M	1	0

Recruiting Resources

Applicant	Recruiting Resource
	Other 1
	Other 3

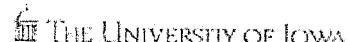
[REDACTED]

Other 1
UI Departmental website
Other 1
University of Iowa websites - Human Resources/Employment website
Other 1
Other 2
Other 1
[REDACTED]

DAVID WAYNE ASPELMEIER

[REDACTED]

University of Iowa websites - Human Resources/Employment website
University of Iowa websites - Human Resources/Employment website
UI Departmental website
University of Iowa websites - Human Resources/Employment website
Other 1
UI Departmental website
University of Iowa websites - Human Resources/Employment website
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UI Departmental website
Other 1
University of Iowa websites - Human Resources/Employment website
UI Departmental website
Other 1
University of Iowa websites - Human Resources/Employment website
Other 1
University of Iowa websites - Human Resources/Employment website
Other 1
www.indeed.com
University of Iowa websites - Human Resources/Employment website
Other 1



Jobs@UIOWA - Human Resources

Search and Selection Summary #3321857

Recommended Candidate: MONICA MIMS

Requisition #	61036(Ad Requisition)	Org #	08
Dept #	0425	Dept Name	Intercollegiate Athletics
Job Code	PNB2	Title	COMPLIANCE COORDINATOR
Position Number	00040620	Pay Grade	3B
Working Title	ASSOCIATE DIRECTOR OF COMPLIANCE-ATHLETICS		
# Applicants	64	Percent Time	100
Annual Salary	\$47,000.00 - \$53,000.00 over 12 months		
Anticipated Start Date	08/01/2012		
Candidate will not be appointed to a faculty appointment.			
This form will not be routed to Compensation and Classification for Salary Justification.			
References have been checked.			
Appointment Type	Existing P & S Position Requisition		
Workflow Status	Complete (Through Workflow)		
*** This form has been changed. To view changes, please click here ***			

Workflow Routing

Seq#	Approval Date	Approver	Approval	Routing	Status	Comments
3	07/19/2012	MODESTOU,JENNIFER ANN	May Approve	EQUAL OP & DIV	Y	Salary range updated per email from Mary Curtis.
2	07/18/2012	BARTA,GARY ALLEN	May Approve	DEANS GROUP	Y	
1	07/18/2012	CURTIS,MARY COLLEEN	Required	DEPT	Y	
0	07/18/2012	NEU,LORI A	Required	INITIATOR	Y	
Key to above "Status" Column:				Y Approved N Not Approved V Voided		
				R Requested Returned T Total Approval		

Applicant List

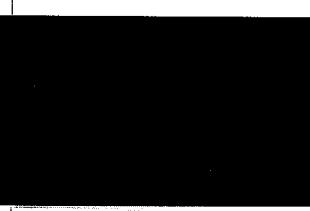
[Show/Hide Equal Opportunity and Diversity's Rating Legend](#)

Attention: This requisition requires a Criminal Background check.

Candidates highlighted in yellow have been chosen to interview.
 Candidates with the Gender value of "", filled it on the Self Identification Form.

Candidates with a (C) at the end of their name have been marked for a possible conflict of interest.

Applicant	Date Appl. Received	Rating	Years of Rel. Exper.	Total Years of Exper.	Gender	Type of Appl	Action	Post I-View Action	Reason for Decline
DAVID WAYNE ASPELMEIER	06/05/2012	2	2.5	3	*	1	5	0	
	06/14/2012	2	11.5	11	*	2	5	0	
	06/10/2012	2	2	3	M	1	3	2A	
	06/05/2012	2	1	5	*	1	0	0	
	06/07/2012	2	1.5	2	*	1	0	0	
	06/18/2012	2	5	6	*	1	3	2A	
	06/13/2012	2	2	3	*	1	5	0	
	06/17/2012	2	2	3	*	1	3	11	
MONICA MIMS(C)									
	06/12/2012	4			M	1	0	0	
	06/05/2012	4			*	1	0	0	
	06/06/2012	4			M	1	0	0	
	06/06/2012	4			*	1	0	0	
	06/14/2012	4			*	1	0	0	
	06/05/2012	4			M	1	0	0	
	06/08/2012	4			*	1	0	0	
	06/17/2012	4			M	1	0	0	
	06/05/2012	4			*	1	0	0	

	06/14/2012	4		M	1	0	0
	06/08/2012	4	*	1	0	0	
	06/08/2012	4	*	1	0	0	
	06/10/2012	4		M	1	0	0
	06/12/2012	4	*	1	0	0	
	06/06/2012	4		M	1	0	0
	06/17/2012	4	*	1	0	0	
	06/18/2012	4	*	1	0	0	
<u>Applicant</u>	<u>Date Appl. Received</u>	<u>Rating</u>	<u>Years of Rel. Exper.</u>	<u>Total Years of Exper.</u>	<u>Gender</u>	<u>Type of Appl</u>	<u>Action</u>
	06/08/2012	4	*	1	0	0	
	06/11/2012	4	*	1	0	0	
	06/18/2012	4	*	1	0	0	
	06/18/2012	4	F	1	0	0	
	06/14/2012	4	*	1	0	0	
	06/07/2012	4	*	1	0	0	
	06/17/2012	4	F	1	0	0	
	06/17/2012	4	*	1	0	0	
	06/05/2012	4	*	1	0	0	
	06/15/2012	4	*	1	0	0	
	06/05/2012	4	*	1	0	0	
	06/12/2012	4	*	1	0	0	
	06/05/2012	4	*	1	0	0	
	06/06/2012	4	M	1	0	0	
	06/06/2012	4	U	1	0	0	
	06/12/2012	4	M	1	0	0	
	06/12/2012	4	*	1	0	0	
	06/07/2012	4	*	1	0	0	
	06/06/2012	4	U	1	0	0	
	06/18/2012	4	*	1	0	0	
	06/10/2012	4	*	1	0	0	
	06/09/2012	4	*	1	0	0	
	06/05/2012	4	*	1	0	0	
	06/06/2012	4	M	1	0	0	
	06/05/2012	4	*	1	0	0	
<u>Applicant</u>	<u>Date Appl. Received</u>	<u>Rating</u>	<u>Years of Rel. Exper.</u>	<u>Total Years of Exper.</u>	<u>Gender</u>	<u>Type of Appl</u>	<u>Action</u>
	06/08/2012	4	*	1	0	0	
	06/17/2012	4	*	1	0	0	
	06/08/2012	4	M	1	0	0	
	06/12/2012	4	M	1	0	0	
	06/11/2012	4	M	1	0	0	
	06/10/2012	4	*	1	0	0	
	06/18/2012	4	F	3	0	0	
	06/14/2012	4	U	1	0	0	
	06/15/2012	4	*	1	0	0	
	06/11/2012	4	M	1	0	0	
	06/05/2012	4	*	1	0	0	
	06/14/2012	4	*	1	0	0	
	06/05/2012	4	*	1	0	0	
	06/18/2012	4	M	1	0	0	

Recruiting Resources

Applicant	Recruiting Resource
	Other 1

Other 1
Other 3
Other 1
UI Departmental website
Other 1
Other 1
Other 1
University of Iowa websites - Human Resources/Employment website
Other 1
University of Iowa websites - Human Resources/Employment website
UI Departmental website
UI Departmental website
University of Iowa websites - Human Resources/Employment website
Other 1
University of Iowa websites - Human Resources/Employment website
Other 1
Other 1
www.indeed.com
Other 1
Other 1
Other 1
Other 1
University of Iowa websites - Human Resources/Employment website
Other 1

Other 1
Other 2
Other 1
UI Departmental website
Other 1
UI Departmental website
University of Iowa websites - Human Resources/Employment website
Other 1
Other 1
University of Iowa websites - Human Resources/Employment website
University of Iowa websites - Human Resources/Employment website
Other 1
University of Iowa websites - Human Resources/Employment website
Other 1
Other 1

Instructions to the Open Employment Search Chair

Record Retention

Office of Equal Opportunity and Diversity Recruitment Manual Chapter IV, section J. states,

"Departments are required to retain the resumes and all search documents for all applicants for a period of four years following the closure of the search. Search committee members should turn over all notes and files they have to the search committee chair at the end of the search. The hiring department is responsible for maintaining the search file."

The following records shall be retained through HIRE@IOWA:

- Vacancy notice
- Letters of application, resumes, and reference lists
- Candidate rating scores
- "Permission to Interview" justification
- "Permission to Offer" justification

The Department of Athletics will establish a recruitment file for this search. The following records shall be collected by the Search Chair, placed in the master file and retained by the department for a minimum of four years.

- Ratings evaluation of applicants (see sample)
- Notes created when performing reference checks (see sample)
- Notes created when assessing the candidate's diversity skills (see sample)
- Any other documents collected for assessing a candidate's ability to perform the job.

The following materials may be destroyed or maintained at your discretion:

- Individual committee member notes, drafts of interview lists, or drafts of hiring justifications that were used to develop a final official product
- Materials relating to individuals you recruited who did not ultimately apply.

Completion of Search – Acknowledgement of Search Chair

Position: Assoc Dir. - Compliance

I have submitted all relevant search materials to the department for retention.

Mary C Curtis

Signature of Search Chair

9/30/12

Date

Print Name: Mary Curtis

Summary of Search Process Responsibilities

1. Identify Position Requirements For Vacancy Advertisement and Candidate Evaluation

Establish basic (required) and preferred qualifications needed to perform the job. Candidates that possess both basic and preferred qualifications will be assigned the highest rating. Established qualifications may not exceed those listed within the position's P&S classification/salary grade. Once the search requisition is approved, there will be a two week advertisement period.

2. Recruitment of a Diverse Pool of Candidates

The Chair shall determine a recruitment plan that reaches diverse applicants, including networking to identify and recruit top women and minority candidates. The search committee shall use personal contacts to recruit the highest quality pool possible. When recruiting, do not promise complete confidentiality but inform potential candidates that nominations, recommendations, and applications for University employment received from outside Iowa state government shall be maintained as confidential in accordance with the terms of the Iowa open records law.

3. Establishing a Diverse Search Committee

The Chair shall identify a committee that is diverse by gender and racial ethnicity. Seek outside minority faculty/staff as needed. A Presidential Committee on Athletics (PCA) member shall serve when the position works directly with student-athletes. Under special circumstances, the Chair and Director of Athletics may decide an alumni will also serve on the committee.

4. Evaluating the Pool

The Chair shall input official ratings (meets all/some/none of basic or preferred requirements) and years of relevant and total experience (as defined by the Chair). The level of the search committee's involvement is at the discretion of the Chair. At the very least, the pool (or the highest rated subset) should be released to the entire committee for review. Informal ratings by each committee member are optional. Retain records if additional qualitative ratings are maintained.

5. Conducting the Reference Checks

Reference checks can be conducted pre- or post-interview at the discretion of the Search Committee. Questions should focus on the candidate's job-related experience, qualifications, accomplishments, and experience with diversity. Ask the same basic questions about each candidate. See samples provided. Written notes should be taken by the individual interviewing the reference and should be retained in the search files.

6. Pre-Interview Audit or Report

Once the search committee has determined which candidates they would like to interview (a minimum of three), the search committee chair completes the *Pre-Interview Report* in the *Hire @ UIOWA* application. A memorandum shall be attached with the rationale for the selection of interview candidates. Comments on each candidate are to be restricted to how he/she meets the required and preferred qualifications. The justification memo shall include all applicants with a rating equal to the interviewees.

Diversity: If the group of finalists does not include a minority candidate or, if appropriate, gender diversity, the Chair will be required to share recruitment efforts with the Director of Athletics. The director's approval is needed prior to submitting a Pre-Interview Report.

Veterans Preference: If a veteran who has requested and been approved for Veterans Preference is not selected for an interview, the justification memo must document specific reasons the veteran is not as qualified as those selected to interview.

Furloughed Employees: The search committee may be required to interview qualified furloughed University P&S employees per UI protocol. Depending on the timing of this notice, this may put the normal search process on hold.

7. Interviews

Interviews may be offered and arranged once EOD approval is received. The Search Chair should instruct the committee in proper interviewing protocol. (See *Legal and Illegal Interview Questions*) All candidates must be interviewed in the same manner (e.g. by telephone, video conference or on-campus).

8. Permission to Offer

When the search committee is ready to recommend a candidate for hire, the Search Chair submits a *Search and Selection Summary* via *Hire@UIOWA*. Attached shall be (1) a justification memo comparing all interviewed candidates relative to basic and desirable qualifications and any criteria that distinguish the recommended candidate from other applicants, (2) a copy of the draft offer letter, and (3) salary justification. The offer may be extended to the candidate once EOD approval is received.

Veterans Preference: If a veteran is interviewed but not selected as a final candidate, the justification memo must document the specific reasons why the veteran was not as qualified as the preferred candidate using the pre-established criteria for the position.

9. Accepted Offer

When the Chair completes negotiations, a revised/final offer letter is sent to the candidate to sign and return. Forward the fully executed letter to Athletics HR. Notify search committee and remaining candidates that the position has been filled. The supervisor and future employee will receive onboarding information via email.

10. Prepare Orientation Schedule For New Employee

Associate Director of Compliance

Name: *Monica Mims*

Required

Institution:

USC - Asst Dir of Athl Compl.

Degree	Bachelors	<i>UI - AAUW Studies 2007</i>
Rules	Demo commitment - institutional control	<i>Yes</i>
Experience	1-3 yrs progressive Div I Comp Exp	<i>10m GA 9m NCAA PostGrad Intern 14m USC Asst Dir of Athl Compl.</i>
	Demo comprehensive knowledge: NCAA, processes, interps, appeals, governance	✓
Skills	Exc written & oral comm skills	✓
	Exc interpersonal & organizational skills	✓
	Proficiency: word, spreadsheets, databases, LSDBi, Cai	✓
Basic Requirements	All or Some=	<i>All</i>

Preferred

Degree	Juris Doctorate	<i>UI 2010</i>
Experience	Comp and SA educational programming at Div I, conference or NCAA	<i>Yes.</i>
	Supervisory Exp	0
	Proven experience with high profile sport programs	✓
Skills	Demonstrated familiarity w social media	✓
Wildcard		
Preferred Requirements	All or Some=	<i>Some</i>

Years of Division I Experience

2

Years of Relevant Exp

3

The University of Iowa
Office of Equal Opportunity and Diversity
Reference Check Template
for Professional & Scientific Positions

Section I: Applicant Information

Mims Monica

Last Name First Name Middle Initial

Assoc. Director of Compliance
Position title

College/Org and Department/Unit

Section II: Reference Contacted

Ellen Ferris USC 213 821-4290 office (cell)

Person Contacted Employer/Organization Phone Number

Assoc. VP of Athl. Compliance
Position title of person contacted: Length of association to candidate

Relationship to candidate: Supervisor Co-Worker Academic Other Describe: _____

Section III: Candidate Information

Reference must be work relevant or related to academic background

USC
Position title candidate held Employer/Organization Dates of employment

Identify yourself, your institution, your reason for calling and the position for which the candidate is applying. If necessary, briefly describe the duties and responsibilities of the position the candidate is seeking.

- 1) Briefly provide the reference with a summary of the candidate's statement of his/her duties in the former position. Does this summary accurately reflect the candidate's duties and responsibilities? *Yes*
- 2) Did you have an opportunity to observe and evaluate the candidate's performance? *Yes*
If yes, how would describe the candidate's work performance in this position? *Very good, professional.*
Evaluations/reviews twice a year and gets outstanding marks.
- 3) How would you compare the work performance of this candidate with that of others who have held the same position? *New position because compliance office has grown with NCTA infractions*
- 4) Describe the candidate's knowledge, skills and subject matter expertise.
Very strong and wants to learn.
- 5) What areas could the candidate improve upon?
Experience. Relatively new in the field.

6) Please provide examples of the candidate's experience with and/or commitment to diversity in the work/academic environment. (This is an appropriate question to ask for pay grades 12 and above).

7) Describe the candidate's work ethic in the context of trustworthiness, dependability and initiative.

8) How would you rate the candidate's writing and verbal communication skills? *Very Good*

9) How would you rate the candidate's interpersonal communication skills? *Very Good Communicator with sports she works with and within compliance office*

10) How would you describe the candidate's relations with his/her customers? *Very Good / Very Professional*

11) How would you rate the candidate's time management/organization skills? *Good / Not a issue Very Hard worker*

12) Describe the candidate's ability to make sound and timely decisions.

13) Describe the candidate's adaptability to change? *She come into a very tough situation when she started because somebody in office was fired and there was a split in workers. Just went about her business.*

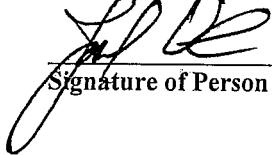
14) Was the candidate the subject of any disciplinary action or legal proceedings? *No*
If yes, please briefly describe the circumstances and the outcome.

15) If known, why did the candidate leave your employ?

16) Is the candidate eligible for rehire?
If no, can you share the reasons why not?

17) Is there additional information that you would like to provide that would be pertinent in considering this candidate for employment? *They do not want to lose her. Outstanding worker*

Section IV: Required Signature



Signature of Person Checking References

June 29th, 2012

Date

The University of Iowa
Office of Equal Opportunity and Diversity
Reference Check Template
for Professional & Scientific Positions

Section I: Applicant Information

Mims Monica _____
Last Name First Name Middle Initial

Position title _____ College/Org and Department/Unit _____

Section II: Reference Contacted

Susan Peal NCAA Eligibility Center 317 223-0705
Person Contacted Employer/Organization Phone Number

Position title of person contacted: 1 year NCAA Internship
Length of association to candidate

Relationship to candidate: Supervisor Co-Worker Academic Other Describe: _____

Section III: Candidate Information

Reference must be work relevant or related to academic background

NCAA Internship NCAA _____
Position title candidate held Employer/Organization Dates of employment

Identify yourself, your institution, your reason for calling and the position for which the candidate is applying. If necessary, briefly describe the duties and responsibilities of the position the candidate is seeking.

1) Briefly provide the reference with a summary of the candidate's statement of his/her duties in the former position. Does this summary accurately reflect the candidate's duties and responsibilities? Yes

2) Did you have an opportunity to observe and evaluate the candidate's performance? Yes
If yes, how would describe the candidate's work performance in this position?

Outstanding. Very Detailed and analytical

3) How would you compare the work performance of this candidate with that of others who have held the same position? She was outstanding and one of best they have had.

4) Describe the candidate's knowledge, skills and subject matter expertise.

Gained Valuable experience in all areas of compliance.

5) What areas could the candidate improve upon?

Susan's only concern was that Monica was such a nice genuine person how would she handle saying "NO" to a coach with a hard decision

6) Please provide examples of the candidate's experience with and/or commitment to diversity in the work/academic environment. (This is an appropriate question to ask for pay grades 12 and above).

7) Describe the candidate's work ethic in the context of trustworthiness, dependability and initiative.

Very very good. Took instruction well! Great follow thru and got things done

8) How would you rate the candidate's writing and verbal communication skills?

Very quickly. Very Good. Builds relationships,

9) How would you rate the candidate's interpersonal communication skills?

Very good

10) How would you describe the candidate's relations with his/her customers?

11) How would you rate the candidate's time management/organization skills?

Outstanding. Being a lawyer and former student athlete has her on top of everything

12) Describe the candidate's ability to make sound and timely decisions.

Very analytical. Will study situation ~~then~~ before making a decision.

13) Describe the candidate's adaptability to change?

14) Was the candidate the subject of any disciplinary action or legal proceedings?

If yes, please briefly describe the circumstances and the outcome.

No

15) If known, why did the candidate leave your employ?

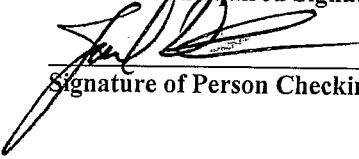
16) Is the candidate eligible for rehire?

If no, can you share the reasons why not?

17) Is there additional information that you would like to provide that would be pertinent in considering this candidate for employment?

Susan said Monica is very unique in that she loves compliance and this is what she wants to do. She has a passion for compliance that usually takes time to acquire.

Section IV Required Signature



Signature of Person Checking References

June 28, 2012

Date

RATING FORM-Assoc Director of Compliance, July 2012

Candidate's Name:

Monica Mimms

Rater's Name:

Ellie Herman

Attended (check all that apply): Search Cte; Presentation; Dinner; Individ Mtg

Please rate each category on a scale of 1-5: 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Required /Desirable Qualifications	Rating	Comments
Degree/Equivalent	4	<i>Has all of the required and desired qualifications including experience working for one year as an intern at the NCAA.</i>
Progressive experience in D-I compliance role	4	<i>Although only a year as a fulltime compliance employee, she served as a program aid at Arizona, a graduate assistant in compliance at Iowa, an intern at the NCAA, and now has been assistant director of compliance at USC for over a year.</i>
Comprehensive knowledge of & experience in NCAA rules education, processes, interpretations, appeals, governance structure	4	<i>Seems quite knowledgeable</i>
Interpersonal, organizational skills; written & oral communication skills	5	<i>Only able to evaluate what I observed during the interview – she made good eye contact, answered questions articulately with warmth and humor where appropriate.</i>
Proficient in technological processes--online data management, LSDBI, CAI	5	<i>Her resume indicates she has experience working with the NCAA online data management system and other computer applications such as PowerPoint, Excel, etc.</i>
Supervisory Experience		<i>Not able to respond to this question</i>
Experience in working with High Profile Sports Teams	4	<i>Gave some good specific examples of working with USC's basketball program and the camps they run for potential SA's.</i>

Experience in Student Athlete Educational Programming	5	<i>Her current position as USC includes educational programming</i>
Experience with Social Media (web & mobile-based technologies)	5	<i>She described experiences at USC and their social media policy. She discussed monitoring high profile SA with "pro" potential. She also discussed seeking out Oklahoma compliance staff at a meeting to discuss how they use "tweeting" productively.</i>
Understanding of and philosophical fit with Iowa Athletics Student Services	5	<i>Her experience as an Iowa S.A. and the law school internship here have given her 1st-hand knowledge. She also has experiences in other programs that she has used to compare what Iowa does relative to other programs.</i>
*Overall Rating	5	Continue to use 1-5 scale in determining your overall rating. (it does not need to be an average of other ratings.) 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Other comments

[Return to Mary Curtis, CHA](#)

RATING FORM-Assoc Director of Compliance, July 2012

Candidate's Name: Monica

Rater's Name Mary

Attended (check all that apply): Search Cte; Presentation; Dinner; Individ Mtg

Please rate each category on a scale of 1-5: 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Required /Desirable Qualifications Rating Comments

Degree/Equivalent	5	JD
Progressive experience in D-I compliance role	4	(5) 1 yr GA (Part time) 10 mo NCAA Intern 14 mo Asst Dir - USC 2.5 yrs
Comprehensive knowledge of & experience in NCAA rules education, processes, interpretations, appeals, governance structure <i>little experience w/ waivers, reinstatements, long term view,</i>	4	Developing #1 Initial eligibility & Amateurism #2 Monitoring basics - Recruiting, Playing & Practice, Travel, extra benefits, promotions #3 Interps
Interpersonal, organizational skills; written & oral communication skills	5	- Engaging, addresses issue, a planner, articulates point - Excellent written & oral skills - Focuses on relationship building
Proficient in technological processes--online data management, LSDBI, CAI	5	- Uses a variety of software, incl LSDBI & CAI -
Supervisory Experience	3	gives assignments to interns, follows up - graduate & undergraduate
Experience in working with High Profile Sports Teams	5	- Exp identifying type of SA to focus on, exp monitoring & identifying concerns. - WBB, M&W VB

Experience in Student Athlete Educational Programming	4.5	<ul style="list-style-type: none"> - 6 year GA - minority focus group + ISAAC - assisted with rules education
Experience with Social Media (web & mobile-based technologies)	4.5	<ul style="list-style-type: none"> - Strategic planning for compliance account - Reviewing high profile SAs
Understanding of and philosophical fit with Iowa Athletics Student Services	5	Excellent - Knows philosophy, embraces & values culture
*Overall Rating		<p>Continue to use 1-5 scale in determining your overall rating. (it does not need to be an average of other ratings.)</p> <p>1=inadequate; 2=poor; 3=average; 4=good; 5=excellent</p>

Other comments

Compliance: + #1 - delving into grey areas & problem solving
 + SA interaction
 + good sense of institutional control

Strong ethics, presents self well, skills developed w/ JD, inquisitive, is still experimenting w/ best work style for on-campus compliance work, developing as a compliance person, has unique perspective of UI SA + NCAA + USC.

[Return to Mary Curtis, CHA](#)

RATING FORM-Assoc Director of Compliance, July 2012

Candidate's Name: MONICA MIMS Rater's Name MEL SANDERS

Attended (check all that apply): Search Cte; Presentation; Dinner; Individ Mtg

Please rate each category on a scale of 1-5: 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Required /Desirable Qualifications	Rating	Comments
Degree/Equivalent	5	
Progressive experience in D-I compliance role	4	LESS THAN 2 YRS, BUT AT HIGH PROFILE BCS INSTITUTION. ALSO HAS NCAA EXPERIENCE.
Comprehensive knowledge of & experience in NCAA rules education, processes, interpretations, appeals, governance structure	4	REGULAR RULES EDUCATION MTGS & EXPERIENCE AT NCAA.
Interpersonal, organizational skills; written & oral communication skills	4	
Proficient in technological processes--online data management, LSDBI, CAI	4	
Supervisory Experience	3	LIMITED
Experience in working with High Profile Sports Teams	4	

Experience in Student Athlete Educational Programming	4	EXTENSIVE INVOLVEMENT AS A GA AT IOWA
Experience with Social Media (web & mobile-based technologies)	4	CURRENT TRACKS SOCIAL MEDIA ON POTENTIAL PRO ATHLETES. ALSO TRACKS TWITTER.
Understanding of and philosophical fit with Iowa Athletics Student Services	5	
*Overall Rating	5	Continue to use 1-5 scale in determining your overall rating. (it does not need to be an average of other ratings.) 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Other comments

COMBINATION OF GREAT INTERPERSONAL SKILLS AND BCS-LNCAA EXPERIENCE MAKE HER AN EXCEPTIONAL CANDIDATE.

[Return to Mary Curtis, CHA](#)

Rev 7.10.12

Curtis, Mary C

From: Gene Parkin <gfparkin@engineering.uiowa.edu>
Sent: Monday, July 16, 2012 9:39 AM
To: Curtis, Mary C
Subject: Candidates

Hi Mary,

You said you would like some written comments from us about the associate director of compliance candidates. I met with Monica Mims and [REDACTED] with the rest of the search committee; I did not meet with [REDACTED].

Of the two candidates I met, I think Monica is by far the most qualified and the best fit. She is articulate and seems very knowledgeable, and clearly has the most varied experience of all the candidates. Plus she has experience here at Iowa. Often when I am evaluating candidates, I ask the question "which of the candidates would I be most comfortable with or proud of when representing me and my group (whatever group that is)". Clearly Monica stands out here.

I hope these comments are helpful.

Gene

--
Gene F. Parkin, Ph.D., P.E.

Donald E. Bently Professor of Engineering Director, Center for Health Effects of Environmental Contamination Dept. of Civil & Environmental Engineering University of Iowa

319-335-5655

319-335-5660 (fax)

Curtis, Mary C

From: Parker, Nancy L
Sent: Saturday, July 14, 2012 1:35 PM
To: Curtis, Mary C
Subject: Assoc Dir Compliance Search Member observations

Mary: per your request:

MIMS:

Preferred educational credential, JD;
Experience at varied intercollegiate athletics institutions—NCAA & Eligibility Center; attended as SA, worked PT in compliance @ UI as law student; intern PAC 10; FT compliance @ PAC 10 institution—notably, an institution on probation required to establish and enforce new policies, protocols, institutional structure & scrutiny all of which provides relevant and valuable training ground for candidate & application to this institution;
Residual of work in athletics institutions affords candidate valuable professional networks to tap in the work @ this institution;
works with high profile teams & coaches;
exudes sense of professionalism, deportment & carriage-- important in communicating & working with internal & external constituencies—high profile coaches, athletics & institutional administrators, influential professional & business leaders, alumni and boosters;
experienced in application of social media in compliance role; as monitoring & educational tool with staff and students;
experienced as a student athlete, graduate assistant and NCAA intern in SA educational programs;
excellent interpersonal and relationship-building -skills;
experienced with technological processes – NCAA applications, etc.
best & most integrated fit with institutional core values, principles of institutional control & culture; professionalism & presentation;

[REDACTED]
Preferred educational credential, JD;

Experienced @ D-I mid major & D-II about to transition to D-I but not a comparable institution or intercollegiate athletics program;

Exceptional verbal skills; and ability to translate theory to application;

Excellent problem-solving skills;

Lacks the professionalism important to role of assoc dir – demeanor, confidence, physical presence in working with internal & external professionals, administrators, executives;

Lacks the experience, insight & sensitivity to pressures and demands on a compliance operation of D-I championship-caliber sports programs to ensure institutional control & spirit of compliance;
experienced with technological processes – NCAA applications, etc.

Impressive intellectual command of the concept of compliance; and impressive capacity to articulate how compliance is operationalized in an intercollegiate athletics program;

[REDACTED]
Educational credential, MS;

5 years progressive experience in all facets of compliance @ D-II institution that includes 2 D-I sports programs: rules interpretation & education; waivers; policy & protocol development;

1 yr PT intern experience @ D-I institution;

Lacks the breadth of experience, insight & sensitivity to pressures and demands on a compliance operation of a D-I championship-caliber sports programs;

Lacks the oral communication skills required to make public presentations to internal & external constituencies

Lacks the experience in & application of social media technology to compliance monitoring and rules education.

Left message with [REDACTED] 3rd reference ([REDACTED]) but out til Monday.

Nancy

Associate Director of Compliance

Name: [REDACTED]

Required

Institution: [REDACTED]

Degree	Bachelors	BA [REDACTED]
Rules	Demo commitment - institutional control	
Experience	1-3 yrs progressive Div I Comp Exp	21 mo - [REDACTED] 22 mo - [REDACTED] <i>Has Assoc AD/Compt.</i>
	Demo comprehensive knowledge: NCAA, processes, interps, appeals, governance	
Skills	Exc written & oral comm skills	✓
	Exc interpersonal & organizational skills	✓
	Proficiency: word, spreadsheets, databases, LSDBi, Cai	✓
Basic Requirements	All or Some=	All [REDACTED]

Preferred

Degree	Juris Doctorate	JD [REDACTED] MA [REDACTED]
Experience	Comp and SA educational programming at Div I, conference or NCAA	✓
	Supervisory Exp	? 1-2 GAS
	Proven experience with high profile sport programs	?
Skills	Demonstrated familiarity w social media	?
Wildcard		
Preferred Requirements	All or Some=	Some [REDACTED]

Years of Division I Experience

2

3

Years of Relevant Exp

Curtis, Mary C

From: Parker, Nancy L
Sent: Wednesday, June 27, 2012 8:52 AM
To: Curtis, Mary C
Subject: phone references [REDACTED]

Mary: 2 references on [REDACTED] Wm BSK coach below came end of the day yesterday:
[REDACTED]

[REDACTED] is a "solid performer." Resume description is accurate. Filled in for the AssocAD-Compl/SWA during maternity leave & following her resignation in Dec 2011. A new SWA has been hired as of June 2012. Has a solid grasp of the legislation. He communicates a culture of service. Upon arriving @ [REDACTED] set about getting to know coaches & staff; learning about the current systems, recommended & has implemented new policies & protocols. Very analytical; very intelligent; has been an outstanding addition to the operation. Supervises 1-2 grad assts. Is very responsive, timely; follows through on tasks. Works well with people.

Would like him to "...take more ownership in his position"; he would benefit from "putting a stake in the ground & establish his territory."

Would like to keep him.

[REDACTED] Candidate's resume description is accurate. Formerly @ D-II school for 10 yrs, so hard to compare performance of compliance staff @ D-II vs compliance @ D-I. [REDACTED] now the answers; "knows his stuff"; very thorough. Sometimes has to research before supplying answer. Relative to work ethic, rate him a 10. His answers are always well thought out; "not always what we want to hear". He's smart, sharp. Coaches often by-passed his boss, SWA, who acted like a 'police officer' to work, instead, w/ [REDACTED] He is a team player, easy to talk to; often paid visits to coaches, just to talk & build relationships. He respected every coach; and the feeling was mutual. No coaches. He is "kind of quiet"; always thinking. Very professional; very discreet. He seems to have a system; talks about process—never promises, but will investigate in order to find out the answers.
He would like him to stay @ [REDACTED]

Nancy

Curtis, Mary C

From: Parker, Nancy L
Sent: Tuesday, June 26, 2012 4:44 PM
To: Curtis, Mary C
Subject: FW: How are you doing.... Compliance Position Reference Checks Addendum

I asked Jack Dahm to get me his reference information so I could forward to you. This am, he reported leaving messages for all 3, but no response. Pete forwarded his reference info to Fred. N

From: Parker, Nancy L
Sent: Tuesday, June 26, 2012 4:42 PM
To: Curtis, Mary C
Subject: RE: How are you doing.... Compliance Position Reference Checks

He Mary: see below in red:

From: Curtis, Mary C
Sent: Tuesday, June 26, 2012 3:44 PM
To: Parker, Nancy L
Subject: How are you doing.... Compliance Position Reference Checks

Hi Nancy,

I am working on the **Pre-Interview Memo** plus I will be calling the leading candidates with some resume clarification questions. I need your feedback to complete the justification portion of the memo. You can either email information back or call me at 335-9957 (office) or [REDACTED] (cell).

Candidate: <name> [REDACTED]
How are you doing on your reference checks? So far, only 1 of 3. That is, [REDACTED]. Left several messages for the [REDACTED] w/m's bsk coach [REDACTED] the 3rd individual [REDACTED] is out until next week.
Have you run into any concerns or information that conflicts with what the candidate presented in his/her materials? Not so far. The 1 reference corroborates the candidate's resume.
Would you consider the references excellent, good, mixed, or poor? I'd say excellent
Have you discovered a question/clarification I should ask the candidate? I was about to call the candidate to recommend another reference...or 2 until I got this from you.

Here are the notes I took:

[REDACTED]

[REDACTED] Supervised him last 6 months:

[REDACTED]

[REDACTED] is a "solid performer." Resume description is accurate. Filled in for the AssocAD-Compl/SWA during maternity leave & following her resignation in Dec 2011. A new SWA has been hired as of June 2012. Has a solid grasp of the legislation. He communicates a culture of service, not contention. Upon arriving @ [REDACTED], set about getting to know coaches & staff; learning about the current systems, recommended & has implemented new policies & protocols. Very analytical; very intelligent; has been an outstanding addition to the operation. Supervises 1-2 grad assts. Is very responsive, timely; follows through on tasks. Works well with people.

Would like him to "...take more ownership in his position"; he would benefit from "putting a stake in the ground & establish his territory." Would like to keep him.

Appreciate your feedback. If there are no additional complications, my goal is to get our request into workflow by the end of Wednesday. By the way, keep all your reference check notes/papers. I have to collect those from you to archive for a required amount of time. Don't worry about your penmanship!

Mary

Mary C. Curtis, Ph.D.
Associate Director of Athletics
HR, Compliance and Sport Administrator
Phone: 319 335-9957
Fax: 319 335-9333

RATING FORM-Assoc Director of Compliance, July 2012

Candidate's Name: [REDACTED]

Rater's Name Mary

Attended (check all that apply): Search Cte; Presentation; Dinner; Individ Mtg

Please rate each category on a scale of 1-5: 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Required /Desirable Qualifications	Rating	Comments
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Degree/Equivalent	5	JD (11 mo ft) 20 mo- 22 mo [REDACTED] @ 8 mo Director of Compliance Intern 3 yrs.
Progressive experience in D-I compliance role	4.5	
Comprehensive knowledge of & experience in NCAA rules education, processes, interpretations, appeals, governance structure	4.5	Has handled all aspects of position. Still needs mentoring, especially in working at high profile institution.
Interpersonal, organizational skills; written & oral communication skills	3.5	Excellent writer and a great presenter , articulate but only average presenter. Slow to point. Does not project professionalism.
Proficient in technological processes--online data management, LSDBI, CAI	4.5	Uses LSDBI, CAI, NCAA Ama & other database. Does not use other proprietary software.
Supervisory Experience	3	Supervise 1 GA who helps him coordinate projects
Experience in working with High Profile Sports Teams	3	Has had very challenging coaches but no experience in a major conference situation.

Experience in Student Athlete Educational Programming	3.5	- Tutoring - Career advising projects - rules education
Experience with Social Media (web & mobile-based technologies)	3.5	High level of familiarity w/ Twitter & compliance & legal interests; does not utilize
Understanding of and philosophical fit with Iowa Athletics Student Services	5	Integrity, desire to only work in a culture of compliance & well-being
*Overall Rating		Continue to use 1-5 scale in determining your overall rating. (it does not need to be an average of other ratings.) 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Other comments

Compliance strengths/satisfactions

- #1 Complex interpretive situations, problem solving
- #2 Helping & working w/ others - waivers, reinstements, interps
- #3 Instincts excellent on building relationships & mitigating investigations & handling grey areas

Return to Mary Curtis, CHA

RATING FORM-Assoc Director of Compliance, July 2012

Candidate's Name: [REDACTED] Rater's Name: **Ellie Herman**

Attended (check all that apply): Search Cte; Presentation; Dinner; Individ Mtg

Please rate each category on a scale of 1-5: 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Required /Desirable Qualifications	Rating	Comments
Degree/Equivalent	5	<i>Has all of the required and desired qualifications</i>
Progressive experience in D-I compliance role	4	<i>Does have progressive D-I experience but not at any major program or in a major conference</i>
Comprehensive knowledge of & experience in NCAA rules education, processes, interpretations, appeals, governance structure	5	<i>Seems strong in this area although not very good and specifically identifying details of compliance situations in which he was directly involved. Says he likes to review/develop waiver.</i>
Interpersonal, organizational skills; written & oral communication skills	4	<i>His resume indicated he was "exceptional" or "outstanding" in evaluations - which to me demonstrates a lack of understanding of what should or shouldn't be included in this sort of document. He indicates he is relatively introverted and while he's fine speaking to small groups, doesn't feel comfortable in large ones.</i>
Proficient in technological processes--online data management, LSDBI, CAI	5	<i>Seems to have experience in all of these areas</i>
Supervisory Experience	3	<i>Not sure if he has ever had a "staff" to supervise but he clearly has experience supervising/advising coaches, etc.</i>
Experience in working with High Profile Sports Teams	4	<i>Football and Basketball are high profile sports everywhere however, his experience has not been in any high profile/big budget program.</i>

 Degree/Equivalent | 5 | *Has all of the required and desired qualifications* || Progressive experience in D-I compliance role | 4 | *Does have progressive D-I experience but not at any major program or in a major conference* |
Comprehensive knowledge of & experience in NCAA rules education, processes, interpretations, appeals, governance structure	5	*Seems strong in this area although not very good and specifically identifying details of compliance situations in which he was directly involved. Says he likes to review/develop waiver.*
Interpersonal, organizational skills; written & oral communication skills	4	*His resume indicated he was "exceptional" or "outstanding" in evaluations - which to me demonstrates a lack of understanding of what should or shouldn't be included in this sort of document. He indicates he is relatively introverted and while he's fine speaking to small groups, doesn't feel comfortable in large ones.*
Proficient in technological processes--online data management, LSDBI, CAI	5	*Seems to have experience in all of these areas*
Supervisory Experience	3	*Not sure if he has ever had a "staff" to supervise but he clearly has experience supervising/advising coaches, etc.*
Experience in working with High Profile Sports Teams	4	*Football and Basketball are high profile sports everywhere however, his experience has not been in any high profile/big budget program.*

Experience in Student Athlete Educational Programming	5	<i>Sounds like as the "one person" compliance officer he's had to figure out the most expedient way to do everything including educational programming.</i>
Experience with Social Media (web & mobile-based technologies)	4	<i>No monitoring of face-book etc. but does tweet and use social media on a personal/informational level</i>
Understanding of and philosophical fit with Iowa Athletics Student Services	5	<i>He asked good questions of us and seems to have a good understanding of the integrity of the program.</i>
*Overall Rating	5	Continue to use 1-5 scale in determining your overall rating. (it does not need to be an average of other ratings.) 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Other comments

My overall impression is that he has the appropriate knowledge and experiences to be successful in the position. That said, I was disappointed in his lack of professionalism in his interview attire. I felt his dress was way too casual for this type of interview – no shirt and tie and he needed a shave (in the afternoon I participated in a Track and Field candidate interview and he was in a shirt and tie). I also felt that he often rambled in trying to respond to a question and intermittently found it hard to pay attention to what he was saying. Toward the end of the interview he seemed to become more comfortable and made good eye contact, showed a nice personality, and even a bit of humor.

① What three specific things about your current job give you the most satisfaction?
Helping, challenges, research.

Most frustrating? regulatory/legislative setup.

NA What is the biggest error in judgment or failure you have made in one of your jobs?

Why did you make it?

How did you correct the problem.

Couldn't! — learn from it.
mea culpa - move on.

② In one of your previous jobs, what problems did you identify that had previously been overlooked? Were changes made? Who supported the changes as a result of your ideas?
cash vs % awards.

Give me a specific example of a time you had to address an angry client. What was the problem? What was the outcome? How did you assess your role in defusing the situation.

③ Are you better at working on many things at a time, or are you better at working on and getting results on a few specific things? Please give 2 examples that illustrate this.

Likes multiple -

- 1. complex steps, walkaway \rightarrow most rewarding projects.
- 2. others.
- 3. Most

④ Name one of your best accomplishments, including where the assignment came from, your plans for carrying it out, how you eventually did carry it out, and any obstacles you overcame?

⑤ Tell me about a time a supervisor criticized your work. How did you respond?

understand why; learn from it (positive too).
legal training not afraid to bring up difficult things

6. Most creative idea you implemented/developed?

✓ 1. How has your education & experience prepared you for this position? M- Spt Mgmt; Law- final year in final [REDACTED] - [REDACTED] 9mo as head. Great experience.

Why are you interested? - next progression, best fit, happy at [REDACTED]

✓ 2. Resume Questions

/ waivers, yes & no | don't want reinstatements | reputation

NAV3 What is the role of compliance at a DI school?

• Institutional Control - (sets tone) (res/AD) (of accountability)

Spirit & Intent vs letter of law:

4. Describe your experiences w/ NCAA rules & processes:
 11. - Personnel
 12. - Promotions
 13. - Amateurism
 14. - Recruiting
 14. - Eligibility - Initial
Continuing
 15. - Fin Aid - tenders/MS
Squad list
Evaluation
 16. - Awards
 16. - Comp Admissions

4 cont

14 - Extra Benefits

15 - TravelEligibility Center

Hardship & Med. nonconcurrent Request

Waivers

Reinstatements

Self Reports

17 - CARA & Playing seasons

17 - Outside competition

5. Perceive as your strengths?

driven by curiosity, problem solve, waivers, interps

weakness? ^{turn to strengths} introvert \Rightarrow attention to detail, look at diff perspectives first; explore people's motives = overthink?

Onorous; all we do has a purpose; paperwork/piles;

Ex of difficult? sensitive issue you have

handled ... approach, steps, resolution, success?

① 6th yr waiver - build processes & policies as result② FB violation right as hiring new FB staff
- had to think about, be sensitive

Q7. Diversity - What have you done to further your knowledge or understanding of diversity?

How do you use your interpersonal skills to make someone feel comfortable if there is a discomfort due to differing cultural & ethnic ^{backgrounds} ~~or personal~~?

Not diverse ~~█~~; enjoy, important, travel; athletics has diversity;
Interpersonal: professional, ~~relation~~ developing relationships;
transparent

Q8. What do you see as the consequences of having a major violation?

Q9. Describe your experience with investigating rules violations?

chat - what records do we have? ask open-ended questions.

Q10. In your opinion, in what areas do most rules infractions occur & why.

✓ 11. What is the importance of rules ed for coaching staff? Monthly newsletter, monthly coaches mtg, ongoing cyclical needs.

What is your ^{involvement/} experience with and approach to rules education.

* 12. What's the most creative idea you developed/implemented?

13. Give an example that exemplifies your writing skills?

Speaking skills?

✓ 13. Describe your compliance - related involvement with social media.

Rules ed but no monitoring.
Use twitter in compliance, law & business.
Social Science techniques to influence others.

Do right thing!

14. What are the means by which you communicate with coaches, staff, supervisors? How do you determine which method is most effective? Write an email or keeps all on same page; go to office, best for follow-up questions.

15. Tell me about a specific time when you handled a tough problem which challenged fairness, equity or ethical issues:

16. Describe a decision you made or a situation that you ~~would have handled~~ differently if you had it to do over again.

Times I wish I could do all over again - I'm a big picture guy & AD goals when don't know where to start.

17. What do I care about compliance? Favorite problems? Ques most satisfaction?

Least favorite component? Problems?

Most frustrating aspect of work environment?

How do you resolve frustrations?

RATING FORM-Assoc Director of Compliance, July 2012

Candidate's Name: _____ Rater's Name MEL SANDERS

Attended (check all that apply): Search Cte; Presentation; Dinner; Individ Mtg

Please rate each category on a scale of 1-5: 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Required /Desirable Qualifications Rating Comments

Degree/Equivalent	5	
Progressive experience in D-I compliance role	3	<i>NO BCS LEVEL EXPERIENCE</i>
Comprehensive knowledge of & experience in NCAA rules education, processes, interpretations, appeals, governance structure	4	
Interpersonal, organizational skills; written & oral communication skills	4	
Proficient in technological processes--online data management, LSDBI, CAI	4	
Supervisory Experience	3	<i>DOES NOT SUPERVISE ANY FULL-TIME EMPLOYEES</i>
Experience in working with High Profile Sports Teams	3	<i>LESS THAN 2 YEARS AS FULL TIME COMPLIANCE COORDINATOR NO EXPERIENCE AT BCS LEVEL</i>

Experience in Student Athlete Educational Programming	3	LIMITED TO COMPLIANCE RELATED ISSUES.
Experience with Social Media (web & mobile-based technologies)	3	USES SOCIALLY, BUT NOT PROFESSIONALLY.
Understanding of and philosophical fit with Iowa Athletics Student Services	4	I THINK HE WOULD BE A GOOD FIT, ALTHOUGH I WAS CONCERNED BY HIS COMMENT ABOUT "GIVE & TAKE" WITH COACHES
*Overall Rating	4	Continue to use 1-5 scale in determining your overall rating. (it does not need to be an average of other ratings.) 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Other comments

SUPER INTELLIGENT. HAS A LEGAL BACKGROUND AND STRONG UNDERSTANDING COMPLIANCE ISSUES. GREAT ABILITY TO THINK "OUTSIDE THE BOX". HOWEVER, HIS LACK OF PROFESSIONALISM IN REGARDS TO DRESS (VERY CASUAL, NO TIE OR SPORT COAT, UNSHAVEN) MAKES ME QUESTION IF HE IS TRULY READY TO STEP UP TO THIS LEVEL.

Return to Mary Curtis, CHA

Associate Director of Compliance

Name: [REDACTED]

Required

Institution: [REDACTED]

Degree	Bachelors	[REDACTED] BA [REDACTED]
Rules	Demo commitment - institutional control	Yes
Experience	1-3 yrs progressive Div I Comp Exp	5 yrs - [REDACTED] 2 yrs Int [REDACTED]
	Demo comprehensive knowledge: NCAA, processes, interps, appeals, governance	Yes
Skills	Exc written & oral comm skills	OK
	Exc interpersonal & organizational skills	Yes
	Proficiency: word, spreadsheets, databases, LSDBi, Cai	Yes
Basic Requirements	All or Some=	All

Preferred

Degree	Juris Doctorate	No But MS [REDACTED]
Experience	Comp and SA educational programming at Div I, conference or NCAA	Yes.
	Supervisory Exp	Not full time
	Proven experience with high profile sport programs	No
Skills	Demonstrated familiarity w social media	?
Wildcard		
Preferred Requirements	All or Some=	Some

Years of Division I Experience

5

Years of Relevant Exp

6

RATING FORM-Assoc Director of Compliance, July 2012

Candidate's Name: [REDACTED]

Rater's Name: **Ellie Herman**

Attended (check all that apply): Search Cte; Presentation; Dinner; Individ Mtg

Please rate each category on a scale of 1-5: 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Required /Desirable Qualifications	Rating	Comments
Degree/Equivalent	4.5	<i>Has an MA in Sports Management but no law degree.</i>
Progressive experience in D-I compliance role	3	<i>Most of his experience has been at the small college level with an internship at D1 prior to current position.</i>
Comprehensive knowledge of & experience in NCAA rules education, processes, interpretations, appeals, governance structure	5	<i>Has had to "do it all" in the small institution in which he is currently employed. Had a year of internship at ISU so has D1 experience</i>
Interpersonal, organizational skills; written & oral communication skills	5	<i>He discussed having an open-door policy, being service-oriented, and strives for positive interpersonal and communication skills</i>
Proficient in technological processes--online data management, LSDBI, CAI	5	<i>In his "had to do it all" situation, personally manages all of these NCAA programs.</i>
Supervisory Experience	3	<i>Has only supervised a Graduate Assistant. Would love one every year but doesn't always get one.</i>
Experience in working with High Profile Sports Teams	3	<i>He may have done this at ISU as an intern and he does work with high profile programs in his institution - but it is a small college and football and basketball are D2. That said he discussed the politics and variability in treatment of rules and expectations relative to individual sport teams.</i>

Experience in Student Athlete Educational Programming	4	<i>Based on the resources he has in terms of time and financial support, he seems to do what he can. He listed the ways he tries to inform SA's (and coaches) and has ideas for trying to make one of his presentations more interesting for SAs'.</i>
Experience with Social Media (web & mobile-based technologies)	2	<i>Based in his comments this is clearly an area which he views as important but one that he just hasn't had time for. Mentioned it as a goal for future growth.</i>
Understanding of and philosophical fit with Iowa Athletics Student Services	4	<i>Wants to work in the Big Ten, return to his Midwest roots, and he values U of Iowa as a great program he'd like to be a part of</i>
*Overall Rating	4	Continue to use 1-5 scale in determining your overall rating. (it does not need to be an average of other ratings.) 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Other comments

[REDACTED] was a pleasant, capable candidate. I believe he could do the job but of the three candidates interviewed, he would be number #3 for me.

RATING FORM-Assoc Director of Compliance, July 2012

Candidate's Name: [REDACTED]

Rater's Name

M. Curtis

Attended (check all that apply): Search Cte; Presentation; Dinner; Individ Mtg

Please rate each category on a scale of 1-5: 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Required /Desirable Qualifications

Rating

Comments

Degree/Equivalent	4	Masters
Progressive experience in D-I compliance role	4	1 yr - intern D-I 4-5 yrs multidivisional
Comprehensive knowledge of & experience in NCAA rules education, processes, interpretations, appeals, governance structure	4	DIV II + some Div. I
Interpersonal, organizational skills; written & oral communication skills	2	Organizes thoughts, knows processes but has poor presentation skills.
Proficient in technological processes--online data management, LSDBI, CAI	4	Uses LSDBI, CAI, AMA, e
Supervisory Experience	3	Interns only
Experience in working with High Profile Sports Teams	2	None

Experience in Student Athlete Educational Programming	2	None other than Creative Compliance Certification
Experience with Social Media (web & mobile-based technologies)	3.	Personal use, no special monitoring
Understanding of and philosophical fit with Iowa Athletics Student Services	5	
*Overall Rating	3	Continue to use 1-5 scale in determining your overall rating. (<i>it does not need to be an average of other ratings.</i>) 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Other comments

Return to Mary Curtis, CHA

RATING FORM-Assoc Director of Compliance, July 2012

Candidate's Name: [REDACTED] Rater's Name MEL SANDERS

Attended (check all that apply): Search Cte; Presentation; Dinner; Individ Mtg

Please rate each category on a scale of 1-5: 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Required /Desirable Qualifications	Rating	Comments
Degree/Equivalent	4	
Progressive experience in D-I compliance role	3	EBS EXPERIENCE LIMITED TO INTERNSHIPS. FULLTIME EXPERIENCE AT MULTI-DIVISIONAL D1 & DII
Comprehensive knowledge of & experience in NCAA rules education, processes, interpretations, appeals, governance structure	4	
Interpersonal, organizational skills; written & oral communication skills	3	NEVER SEEMED COMPLETELY COMFORTABLE
Proficient in technological processes--online data management, LSDBI, CAI	4	
Supervisory Experience	3	ONE MAN SHOP - DOES NOT SUPERVISE ANY FULLTIME EMPLOYEES
Experience in working with High Profile Sports Teams	3	LIMITED - LOWER MID MAJOR MBB & NO FOOTBALL

Experience in Student Athlete Educational Programming	3	LIMITED TO COMPLIANCE RELATED ISSUES
Experience with Social Media (web & mobile-based technologies)	3	USES SOCIALLY, BUT NOT PROFESSIONALLY
Understanding of and philosophical fit with Iowa Athletics Student Services	4	PROFESSIONAL & PERSONAL VALUES SEEM TO BE A GOOD FIT.
*Overall Rating	3	Continue to use 1-5 scale in determining your overall rating. (it does not need to be an average of other ratings.) 1=inadequate; 2=poor; 3=average; 4=good; 5=excellent

Other comments

HAS STRONG DESIRE TO BE A HAWKEYE, BUT HAS LIMITED EXPERIENCE IN BCS LEVEL COMPLIANCE.
COULD BENEFIT FROM MORE PROFESSIONAL DEVELOPMENT.

Return to Mary Curtis, CHA

Rev 7.10.12

Associate Director of Compliance

Name: [REDACTED]

Required

Institution: [REDACTED]

Degree	Bachelors	BA - [REDACTED] & BS [REDACTED]
Rules	Demo commitment - institutional control	Yes
Experience	1-3 yrs progressive Div I Comp Exp	10 mo - [REDACTED] 2½ yrs - [REDACTED] ASST AD
	Demo comprehensive ^{grad} _{SCH.} knowledge: NCAA, processes, interps, appeals, governance	4 mo - [REDACTED] 2½ yrs - [REDACTED] Compt Coord Div. II - Ass Div - Compt & Media Relation
Skills	Exc written & oral comm skills	Yes
	Exc interpersonal & organizational skills	Yes (likely)
	Proficiency: word, spreadsheets, databases, LSDBi, Cai	Yes Likely
Basic Requirements	All or Some=	All

Preferred

Degree	Juris Doctorate	No But MA [REDACTED]
Experience	Comp and SA educational programming at Div I, conference or NCAA	Yes
	Supervisory Exp	0
	Proven experience with high profile sport programs.	0
Skills	Demonstrated familiarity w social media	?
Wildcard		
Preferred Requirements	All or Some=	Some

Years of Division I Experience

1

Years of Relevant Exp

5

Associate Director of Compliance

Name: [REDACTED]

Required

Institution: [REDACTED]

Degree	Bachelors	BS [REDACTED]
Rules	Demo commitment - institutional control	✓
Experience	1-3 yrs progressive Div I Comp Exp	1 1/2 yrs GA Intern [REDACTED] 1 1/2 yrs [REDACTED]
Skills	Demo comprehensive knowledge: NCAA, processes, interps, appeals, governance	✓
	Exc written & oral comm skills	✓
	Exc interpersonal & organizational skills	✓
	Proficiency: word, spreadsheets, databases, LSDBi, Cai	✓
Basic Requirements	All or Some=	All [REDACTED]

Preferred

Degree	Juris Doctorate	NO BUT MS [REDACTED]
Experience	Comp and SA educational programming at Div I, conference or NCAA	✓
	Supervisory Exp	?
	Proven experience with high profile sport programs	0
Skills	Demonstrated familiarity w social media	0
Wildcard		
Preferred Requirements	All or Some=	Some [REDACTED]

Years of Division I Experience

1.5

Years of Relevant Exp

2

Associate Director of Compliance

Name: [REDACTED]

Required	Institution:	[REDACTED]
Degree	Bachelors	✓ [REDACTED]
Rules	Demo commitment - institutional control	✓ [REDACTED]
Experience	1-3 yrs progressive Div I Comp Exp	10 mo Intern - [REDACTED] 6 mo GA Intern [REDACTED]
Skills	Demo comprehensive knowledge: NCAA, processes, interps, appeals, governance	0 [REDACTED]
Exc written & oral comm skills	[REDACTED]	
Exc interpersonal & organizational skills	[REDACTED]	
Proficiency: word, spreadsheets, databases, LSDBi, Cai	[REDACTED]	
Basic Requirements	All or Some=	Some [REDACTED]

Preferred

Degree	Juris Doctorate	No MS [REDACTED]
Experience	Comp and SA educational programming at Div I, conference or NCAA	[REDACTED]
Supervisory Exp	[REDACTED]	
Proven experience with high profile sport programs	[REDACTED]	
Skills	Demonstrated familiarity w social media	[REDACTED]
Wildcard	[REDACTED]	[REDACTED]
Preferred Requirements	All or Some=	[REDACTED]

Years of Division I Experience

[REDACTED]
[REDACTED]

Years of Relevant Exp

Associate Director of Compliance

Name: [REDACTED]

Required

Institution: [REDACTED]

Degree	Bachelors	[REDACTED] BA [REDACTED]
Rules	Demo commitment - institutional control	[REDACTED] ?
Experience	1-3 yrs progressive Div I Comp Exp	23 mo GA 5 mo intern - DII
	Demo comprehensive knowledge: NCAA, processes, interps, appeals, governance	
Skills	Exc written & oral comm skills	
	Exc interpersonal & organizational skills	
	Proficiency: word, spreadsheets, databases, LSDBi, Cai	
Basic Requirements	All or Some=	[REDACTED]

Preferred

Degree	Juris Doctorate	[REDACTED] 2012 [REDACTED]
Experience	Comp and SA educational programming at Div I, conference or NCAA	
	Supervisory Exp	
	Proven experience with high profile sport programs	
Skills	Demonstrated familiarity w social media	
Wildcard		
Preferred Requirements	All or Some=	[REDACTED]

Years of Division I Experience

Years of Relevant Exp

Associate Director of Compliance

Name: [REDACTED]

Required	Institution	
Degree	Bachelors	BA - [REDACTED]
Rules	Demo commitment - institutional control	[REDACTED]
Experience	1-3 yrs progressive Div I Comp Exp	1yr volunteer - [REDACTED] 1y interim Ass't Adm [REDACTED]
	Demo comprehensive knowledge: NCAA, processes, interps, appeals, governance	2y ? [REDACTED] 0 [REDACTED]
Skills	Exc written & oral comm skills	✓
	Exc interpersonal & organizational skills	✓
	Proficiency: word, spreadsheets, databases, LSDBi, Cai	?
Basic Requirements	All or Some=	Some

Preferred

Degree	Juris Doctorate	JD - [REDACTED] MS [REDACTED]
Experience	Comp and SA educational programming at Div I, conference or NCAA	Some
	Supervisory Exp	?
	Proven experience with high profile sport programs	NO
Skills	Demonstrated familiarity w social media	?
Wildcard		
Preferred Requirements	All or Some=	Some

Years of Division I Experience

3 yr

Years of Relevant Exp

3 yrs

Curtis, Mary C

From: Aspelmeier, David W
Sent: Friday, July 06, 2012 3:04 PM
To: Curtis, Mary C
Subject: Associate Director of Compliance Position

Mary,

After careful thought and consideration, I am respectfully withdrawing my name from the Associate Director of Compliance search. Please let me know if you have any questions. Have a great weekend.

David W. Aspelmeier
Assistant Director of Compliance
University of Iowa
S240 Carver-Hawkeye Arena
Iowa City, IA 52242
Office Phone: 319-335-9215
Cell Phone: [REDACTED]

Associate Director of Compliance

Name: DAVE A

Required		Institution: UI
Degree	Bachelor's	✓ BA - Core
Rules	Demo commitment - institutional control	Yes
Experience	1-3 yrs progressive Div I Comp Exp	Yes - Iowa
	Demo comprehensive knowledge: NCAA, processes, interps, appeals, governance	Yes / regaining skills
Skills	Exc written & oral comm skills	Yes
	Exc interpersonal & organizational skills	Yes
	Proficiency: word, spreadsheets, databases, LSDBi, Cai	Yes
Basic Requirements		All or Some= All

Preferred

Degree	Juris Doctorate	No BUT MA - Edac UNI
Experience	Comp and SA educational programming at Div I, conference or NCAA	Yes
	Supervisory Exp	Functional only
	Proven experience with high profile sport programs	Yes -
Skills	Demonstrated familiarity w social media	Partially
Wildcard		
Preferred Requirements	All or Some=	Some
Years of Division I Experience		11.5
Years of Relevant Exp		11.5

WITHDRAWN

Curtis, Mary C

From: Parker, Nancy L
Sent: Monday, July 02, 2012 9:41 AM
To: Curtis, Mary C
Subject: [REDACTED]

Good morning: [REDACTED] accepted a compliance position @ [REDACTED] and has withdrawn from our search. Per phone call this am 7.2.12.

N

Associate Director of Compliance

Name: [REDACTED]

Required

Institution: [REDACTED]

Degree	Bachelors	BA - [REDACTED]
Rules	Demo commitment - institutional control	✓
Experience	1-3 yrs progressive Div I Comp Exp	22mo - Marketing 4 mo Compliance Intern
	Demo comprehensive knowledge: NCAA, processes, interps, appeals, governance	26mo - CA ✓
Skills	Exc written & oral comm skills	✓
	Exc interpersonal & organizational skills	✓
	Proficiency: word, spreadsheets, databases, LSDBI, Cai	✓
Basic Requirements	All or Some=	All

Preferred

Degree	Juris Doctorate	NO BUT [REDACTED]
Experience	Comp and SA educational programming at Div I, conference or NCAA	✓
	Supervisory Exp	?
	Proven experience with high profile sport programs	?
Skills	Demonstrated familiarity w social media	?
Wildcard		Coached
Preferred Requirements	All or Some=	Some

Years of Division I Experience

2.5

Years of Relevant Exp

3

Curtis, Mary C

From: Gray, Peter V
Sent: Tuesday, June 26, 2012 3:49 PM
To: Curtis, Mary C
Subject: RE: How are you doing.... Compliance Position Reference Checks

From: Curtis, Mary C
Sent: Tuesday, June 26, 2012 3:43 PM
To: Gray, Peter V
Subject: How are you doing.... Compliance Position Reference Checks

Hi Pete,

I am working on the **Pre-Interview Memo** plus I will be calling the leading candidates with some resume clarification questions. I need your feedback to complete the justification portion of the memo. You can either email information back or call me at 335-9957 (office) or [REDACTED] (cell).

Candidate: [REDACTED]

How are you doing on your reference checks? Was able to contact two of the three. I submitted them to Fred yesterday. Have you run into any concerns or information that conflicts with what the candidate presented in his/her materials? NO, Other than his experience has all been at the graduate assistant level as opposed to full time. We supposed that might be the case according to the timeline of his resume, but the references confirmed that. Would you consider the references excellent, good, mixed, or poor? References were good with both mentioning his need to work on presentation skills and verbal communication skills..(i.e.: Boring to listen to.) Have you discovered a question/clarification I should ask the candidate? No.

Appreciate your feedback. If there are no additional complications, my goal is to get our request into workflow by the end of Wednesday. By the way, keep all your reference check notes/papers. I have to collect those from you to archive for a required amount of time. Don't worry about your penmanship!

Mary

Mary C. Curtis, Ph.D.
Associate Director of Athletics
HR, Compliance and Sport Administrator
Phone: 319 335-9957
Fax: 319 335-9333

Curtis, Mary C

From: Parker, Nancy L
Sent: Tuesday, June 26, 2012 4:33 PM
To: Curtis, Mary C
Subject: FW: Reference Check

WITHDREW

Mary: below, Ellie's references. N

From: Herman, Ellen
Sent: Tuesday, June 26, 2012 1:12 PM
To: Parker, Nancy L
Cc: Heath, Mary M
Subject: Reference Check

Nancy,

Reference calls were made relative [REDACTED] - General comments below from two of the three references I was able to reach. By the way, I spoke with Gene yesterday and he's around the rest of the summer (except Mon/Tue, July 9/10 for FAR meeting in Chicago) so one of us she be able to meet with any candidate you bring to campus. Ellie

[REDACTED] worked for [REDACTED] as an intern at [REDACTED] and when he took the job at [REDACTED] he hired her. She spent 6 months as an intern at [REDACTED] and 2 years in current position. Comments were all exceedingly glowing - thinks "the world of her," "does a fantastic job," "will hit the ground running," etc. They divide their compliance work into sports and each compliance officer must know everything as they are the primary contact for their sports. They have a very diverse SA's and coaching staff and [REDACTED] is committed to their success, easy to talk to, supportive, flexible, conscientious, and a thoughtful decision-maker. [REDACTED] indicated that as commonly happens in compliance, she had one small issue/mistake that ended up as a secondary violation in which they gave her a letter of admonishment. He says she has a "bright future" and if we bring her to campus, we will "be impressed."

[REDACTED] phoned and learned he was attending a conference so I emailed him about a time to speak but as yet haven't heard anything.

Learned that [REDACTED] started as an intern and within a few months was hired as a regular employee. She was hired to fill the void when the director left for another position (this wasn't mentioned during the conversation but the person was [REDACTED] above). [REDACTED] responsibilities involved all facets of support to the Women's golf, tennis, and Mixed Rifle teams - from financial aid to monitoring practice and student academic performance. When asked how well she knew [REDACTED] told me they shared an office and she was "the best, That she's gone, no one else has done as well in her position and I miss her." [REDACTED] is in charge of the "externs" they get from the law school and she indicated [REDACTED] picked things up quickly and knew immediately that compliance was where she wanted to work. Other comments included: "positive personal interactions, outstanding verbal and written skills, and experience beyond the years she has on the resume. One area in which [REDACTED] indicated that [REDACTED] lacked experience was speaking to large groups.

Curtis, Mary C

From: Herman, Ellen
Sent: Wednesday, June 27, 2012 3:20 PM
To: Parker, Nancy L; Curtis, Mary C
Subject: final reference check

Hi,
I was just able to speak with the third reference check for [REDACTED]

Sent from my iPhone

Results from this phone conversation were similar to the other two references. Said things like "She was great! She is fantastic, efficient, I can't say one bad thing about her." He also said that of the 5 law school externs he had when he oversaw that program, she was by far the best. He thought so much of her work he actually recommended her to [REDACTED] for the externship she had there for a couple of years (he had been there previous to the conference office).

Ellie

Associate Director of Compliance

Name: [REDACTED]

Required

Institution: [REDACTED]

Degree	Bachelors	✓	
Rules	Demo commitment - institutional control	✓	WGF, NTN, Rifle
Experience	1-3 yrs progressive Div I Comp Exp	6 mo 11 mo 5 mo 21 mo.	GA-Compl. ASST DIV of Comp - Sen. sports Compl Coord - 5 spts: XC, T&F WBB, WTN, MGF
Skills	Demo comprehensive knowledge: NCAA, processes, interps, appeals, governance Exc written & oral comm skills Exc interpersonal & organizational skills Proficiency: word, spreadsheets, databases, LSDBi, Cai	✓ ✓ ✓	
Basic Requirements	All or Some=	All	

Preferred

Degree	Juris Doctorate	✓ -	
Experience	Comp and SA educational programming at Div I, conference or NCAA	✓	
	Supervisory Exp	?	
	Proven experience with high profile sport programs	OK	
Skills	Demonstrated familiarity w social media	?	
Wildcard	[REDACTED]	—	institutional compliance reviews
Preferred Requirements	All or Some=	Some	

Years of Division I Experience

2.

3

Years of Relevant Exp